United States Court of Appeals

for the Second Circuit

APPENDIX

74-2116

United States Court of Appeals

For the Second Circuit.

EDWARD L. KIRKLAND and NATHANIEL HAYES, each individually and on behalf of all others similarly situated,

Plaintiffs-Appellees,

-against-

THE NEW YORK STATE DEPARTMENT OF CORRECTIONAL SERVICES; RUSSELL OSWALD, individually and in his capacity as Commissioner of the New York State Department of Correctional Services; THE NEW YORK STATE CIVIL SERVICE COMMISSION; ERSA POSTON, individually and in her capacity as President of the New York State Civil Service Commission and Civil Service Commissioner; MICHAEL N. SCELSI and CHARLES F. STOCKMEISTER, each individually and in his capacity as Civil Service Commissioner,

Defendants-Appellants,

and

ALBERT M. RIBEIRO and HENRY L. COONS,

Intervenors-Appellants.

On Appeal From The United States District Court For The Southern District of New York

JOINT APPENDIX

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UNITED STATES COURT OF APPEALS
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IN THE UNITED STATES DISTRICT COURT

FOR THE SOUTHERN DISTRICT OF NEW YORK

EDWARD L. KIRKLAND, et al.,	:	
Plaintiffs,	:	CIVIL ACTION No.
-v-	:	
THE NEW YORK STATE DEPARTMENT OF CORRECTIONAL SERVICES, et al.,	:	
Defendants.	:	

COPY OF THE WITHIN PAPER
RECEIVED
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NEW YORK CITY OFFICE
ATTORNEY GENERAL

PLAINTIFFS' FIRST INTERROGATORIES TO DEFENDANTS

To: LOUIS J. LEFKOWITZ, ESQ.
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of New York, by:
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Attorneys for Defendants.

Plaintiffs hereby request that defendants New York State Department of Correctional Services and Russell Oswald, New York State Civil Service Commission and Ersa Poston, Michael N. Scelsi and Charles F. Stockmeister answer the following written interrogatories under oath in accordance with Rule 33, Federal Rules of Civil Procedure. Said answers shall be filed within thirty (30) days after service hereof. All interrogatories shall be deemed to be addressed to all of the defendants, and all answers thereto shall reflect the cumulative knowledge of all defendants, their servants, agents, and employees. In answering, defendants are requested to identify, specifically and in a form suitable for use in a subpoena, all documents, records, or other written material containing, setting forth, or pertaining to the information provided in answering; or in the alternative to attach copies of such materials.

Unless a contrary meaning appears in context, the following definitions apply:

a) the "Commission" refers to the defendant New York State Civil Service Commission;

b) the "Corrections Department" refers to defendant New York State Department of Correctional Services;

c) "institution" refers to each penal facility maintained for male inmates by the Corrections Department in New York State;

d) "officer" refers to any male non-civilian employee, of any rank or classification, employed in the Corrections Department;

e) "rank" refers to each male title or classification in the hierarchy of the Corrections Department (such as Correction Sergeant (Male) or Correction Lieutenant (Male).

The specification "Male" will not be repeated herein, but is understood to apply to all interrogatories regarding ranks held or sought by plaintiffs and class members herein. Other terms are used according to normal usage.

1. Describe the complete organizational structure of the Corrections Department, specifying all facilities and institutions at which personnel of any rank are employed or stationed.

2. Specify each facility or institution at which one or more Correction Sergeants are or have been assigned.

3. Describe briefly but thoroughly the functions of each institution or facility listed in answer to the preceding interrogatory.

4. List each rank in which officers of the Corrections Department are classified, and for each state;

a) the current salary level;

b) the complete job description, if any is available; and if none is available

a general description of the functions and duties of the job;

c) the precise source, documentary or human, for the information set forth in response to the preceding sub-interrogatory;

d) the qualifications for employment at each rank.

5. With reference to the Corrections Department as a whole and to each institution or facility therein, state the following information as of (i) January 1, 1973; (ii) May 1, 1973.

a) the total number of employees;

b) the number of black employees;

c) the number of Hispanic employees;

d) the total number of employees holding permanent appointments in each rank;

e) the number of black employees holding permanent appointments in each rank;

f) the number of Hispanic employees holding permanent appointments in each rank;

g) the total number of employees who are provisionally appointed;

h) the number of black employees who are provisionally appointed;

i) the number of Hispanic employees who are provisionally appointed;

j) the total number of employees in each rank who are provisionally appointed;

k) the number of black employees in each rank who are provisionally appointed;

l) the number of Hispanic employees in each rank who are provisionally appointed;

m) the name and title of the head person in charge of the overall operation of the facility or institution;

n) the name and title of the head person in charge of personnel matters at the facility or institution.

6. With respect to the ranks of Correction Sergeant and Correction Officer only, state the following information as of (i) January 1, 1961; (ii) January 1, 1965; (iii) January 1, 1969; (iv) January 1, 1970; (v) January 1, 1971; (vi) January 1, 1972, (vii) January 1, 1972 (viii) January 1, 1973; and (ix) May 1, 1973, for the Corrections Department as a whole and for each facility or institution therein:

a) the total number of officers of each rank who were permanently appointed;

b) the total number of officers of each rank who were provisionally appointed;

c) the number of black officers of each rank who were permanently appointed;

d) the number of black officers of each rank who were provisionally appointed;

e) the number of Hispanic officers of each rank who were permanently appointed;

f) the number of Hispanic officers of each rank who were provisionally appointed.

7. For the ranks of Correction Officer and Correction Sergeant only, list the educational requirements, training, experience, tests, evaluations or other criteria used as factors in the determination of suitability for appointment or promotion to each rank, the relative weight of each, and the grade, analysis, or other indicia requisite to acceptability for permanent appointment to each rank.

8. For the ranks of Correction Officer and Correction Sergeant, describe briefly but completely the process and criteria by which an applicant is permanently appointed to such position, including, if applicable:

a) the process and criteria by which an applicant

is placed on the list of eligibles for appointment or promotion to such position; and

b) the process and criteria by which a person on the list of eligibles is selected for permanent appointment to such position.

9. For the ranks of Correction Officer and Correction Sergeant, describe briefly but completely the process and criteria by which an applicant is provisionally appointed to such position.

10. For the ranks of Correction Officer and Correction Sergeant, state whether and in what circumstances, a person who is neither permanently nor provisionally appointed to such position, may be assigned to perform the duties and functions of such position.

11. Specifically identify the written examinations given for the ranks of Correction Officer and Correction Sergeant, including at least the following information:

a) what agency or official is responsible for the preparation of such examinations;

b) what official or agency is responsible for administering such examinations;

c) what official or agency is responsible for scoring or grading such examinations;

d) what official or agency is responsible for establishing eligible lists based on such examinations;

e) what official or agency is responsible for evaluating the results of such examinations and determining their validity;

f) what official or agency is responsible for receipt, investigation, and disposition of complaints concerning the grading, scoring, or ranking of persons taking such examinations.

12. Identify each examination given for the ranks of Correction Officer and Correction Sergeant at any time since 1961, by number and date. For each such examination, state separately and in detail:

a) type of questions asked, essay, multiple-choice, true-false, or combinations thereof, indicating how much of the examination each type of question made up;

b) the subject matter of the questions asked (corrections work; police work, science, grammar, vocabulary, public affairs, etc.), indicating how much of the examination each type of matter made up;

c) the total number of persons who registered to take the examination;

d) the number of blacks and Hispanics who registered to take the examination;

e) the total number of persons who actually took the examination;

f) the total number of blacks and Hispanics who actually took the examination;

g) the total number of persons who achieved a passing score on the examination;

h) the total number of persons who were placed on the eligible list established pursuant to the examination;

i) the number of black persons who achieved a passing score on the examination;

j) the number of black persons who were placed on the eligible list established pursuant to the examination;

k) the number of Hispanics who achieved a passing score on the examination;

l) the number of Hispanics who were placed on the eligible list established pursuant to the examination;

m) the total number of persons who received permanent appointments to the position for which the examination was given, during the lifetime of the eligible list established pursuant to the examination;

n) the number of black persons who received permanent appointments to the position for which the examination was given, during the lifetime of the eligible list established pursuant to the examination;

o) the number of Hispanics who received permanent appointments to the position for which the examination was given, during the lifetime of the eligible list established pursuant to the examination;

p) the name, current address and then title of the person or persons who developed the examinations.

13. State whether there has been any significant change since 1961 in the form, nature, or contents of the examinations referred to in the preceding Interrogatory. If so, specify the changes and describe when, why, and how they came about.

14. With respect to the most recent examination given for the rank of Correction Sergeant, provide the following information:

a) a list of all persons, by name, address, and race or ethnic background if available, who registered for the examination;

b) a list of all persons, by name, address, and race or ethnic background if available, who took the examination;

c) the score of each person listed in answer to (b) above on the examination;

d) the position, if ranked at all, of each person listed in answer to (b) above on the eligible list established pursuant to the examination.

15. Has the Civil Service Commission or the Corrections Department ever attempted to assess the impact of the examinations and examination procedures for permanent appointment to the positions of Correction Officer and Correction Sergeant upon black and Hispanic persons?

16. If the answer to Interrogatory 15 is "Yes", describe in detail what was discovered, including, in particular, any information or data with respect to,

a) whether such examinations and examination procedures discourage black or Hispanic persons from applying for such examinations;

b) whether such examinations and examination procedures are culturally biased in the sense that black and Hispanic persons are likely to do less well than white persons because of their different cultural and educational backgrounds;

c) the relative success black and Hispanic persons have achieved on said examinations as compared to white persons;

d) identify by name, title, and address all persons who performed such assessment or knows of it results.

Specifically answer all the questions posed in Interrogatories 15 and 16 above, with reference to the most recent examination given for the position of Correction Sergeant.

18. Are you aware of any reports or studies of any kind relating to the impact of the examinations and examination procedures for the ranks of Correction Officers or Correction Sergeants

upon black and Hispanic persons, including in particular the most recent Sergeants examination? If so, describe the nature of such studies, and state the location of any documents relating to them, and the names and addresses of persons having custody of such documents, and of persons having knowledge of such studies.

19. Has there ever been any attempt on the part of the Civil Service Commission or the Corrections Department to develop selection criteria for any position at the rank of Correction Officer or Correction Sergeant or to analyze the qualities and characteristicsappropriate for performance in those particular ranks on the basis of an empirical survey or other objective research? If so:

a) Describe in detail the research, analyses, or studies involved;

b) Give the names or titles of all studies or other documents relating to such research, analyses or studies; and

c) state the name, address, qualifications and title of each person who participated in the development of criteria.

20. Is there any written job analysis or description of selection criteria for the ranks of Correction Officer or Correction Sergeant. If so:

a) state the names, titles, nature, location and custodian of the documents constituting such analyses or descriptions; and

b) set forth in full the contents of said analyses or descriptions.

21. State in detail how the job analyses or descriptions of selection criteria referred to in answer to Interrogatory 20 were prepared, including in your answer the following information:

a) what persons or groups of persons were responsible for such preparation. Give the names, titles, office addresses and professional qualifications of the relevant persons or agencies;

b) on what specific sorts of investigations did they base their conclusions;

c) when and where were their investigations conducted, and when were the analyses and descriptions first prepared; and

d) indicate whether and when the initial analyses or descriptions referred to in part (c) above were modified, and in what specific respects.

22. Do the defendants contend that they have previously determined the civil service examinations referred to in Interrogatories 12 and 14 above are "content-valid", as that terms is professionally understood? If so, do the defendants contend that their content-validation was performed in accordance with the EEOC Guidelines on Employee Selection Procedure, 29 C.F.R. §1607?

23. Do the defendants in fact contend that the examinations referred to in Interrogatory 12, and particularly that referred to in Interrogatory 14, are "content-valid"? If so, do the defendants contend that their content-validity is demonstrable under the EEOC Guidelines procedures?

24. State with respect to all examinations listed in the answer to Interrogatories 12 and 14 and any similar examination scheduled for the future, whether there has been any logical analysis of the examination and job performed to determine content validity. If there has been any such analysis, state with respect to each such analysis:

a) which examination (name and date) was analyzed;

b) when the analysis was conducted;

c) the names, addresses and relevant professional experience and qualifications of the persons conducting the analysis;

d) the names, dates, titles, nature and custodian of any documents relating to such logical analysis;

e) describe in detail the methodology of the study on which any analysis was based;

f) whether any revisions in the form, nature, or contents of similar examinations has occurred as a result of any such analysis. If so, provide full details.

25. Is there a criterion-related validity study completed, underway, or planned, with respect to any of the examinations listed in the answer to Interrogatories 12 and 14? If so, state with respect to each such study:

a) which examination (name and date) was involved;

b) when the study was conducted or is scheduled for completion;

c) the names, addresses and relevant professional experience and qualifications of the persons conducting the study;

d) the names, dates, titles, nature and custodian of any documents relating to such study;

e) describe in detail the methodology of the study on which any analysis was based.

26. Do the defendants contend that any of the examinations referred to in Interrogatories 12 and 14 have been determined to be valid by an empirical (criterion-related) validity study? If so, do the defendants contend that such validity has been established in accordance with the EEOC Guidelines on Employee Selection Procedure? Justify any affirmative answer with specificity.

27. Have the defendants made any effort to gather job-performance evaluations, by ordinary work evaluations or otherwise, and compare them to scores on any of the examinations referred to

in Interrogatories 12 and 14? If so, provide full details as to when, by whom, by what methodology, with what results, and the pertinent documentary evidence. If not, why not?

28. Are there any studies or analyses completed, underway or scheduled concerning the reliability and/or objectivity of the examinations listed in the answer to Interrogatories 12 and 14? If so, state with respect to each such study or analysis:

a) which examination (name and date) was involved;

b) when the study was conducted or is scheduled for completion;

c) the names, addresses and relevant professional experience and qualifications of the persons conducting the study;

d) the names, titles, nature and custodian of any documents relating to such study;

e) describe the methodology of the study.

29. For each of the Members of the Civil Service Commission, the responsible personnel or selection officials of the Corrections Department, members of their staffs who are responsible for developing examinations, and any individuals identified by name or office in response to Interrogatories 11(a) and (e) and 12(p), describe fully any professional training and qualifications they have in psychometrics, testing, and test construction.

30. Give the names, addresses, titles and/or positions of the members of the Civil Service Commission Corrections Department staffs, or of any other persons or organizations now responsible for:

a) developing job descriptions or analyses for the ranks of Correction Officers and Correction Sergeants;

b) determining education, training and experience requirements for those positions;

c) constructing examinations and designing examination procedures for the ranks of Correction Sergeants and Correction Officers;

d) administering or grading the examinations for the ranks of Correction Sergeants and Correction Officers.

31. Describe in detail the procedures and criteria employed to select the persons referred to in Interrogatory 30. Include in the description with respect to each different position:

a) whether there are any qualifications for such position established by law, regulation or official policy and, if so state specifically what said qualifications are; and

b) whether there are any examinations for such position and, if so, describe the nature of any such examination.

32. State whether Civil Service Commission or Corrections Department employs or consults with, on any regular basis, experts in psychometrics or tests and test construction, with reference to the examinations referred to in Interrogatories 12 and 14; and give the names, addresses, positions and responsibilities of any such persons, together with their professional experience and credentials.

33. State whether any training and/or guidelines are provided for persons responsible for:

a) developing job descriptions or analyses referred to in Interrogatories 19 and 20;

b) determining education, training and experience requirements referred to in Interrogatory 7;

c) constructing the examinations and desiging examination procedure for the examinations referred to in Interrogatories 12 and 14;

d) administering and grading such examinations.

34. Describe in detail the nature of any training and/or guidelines provided the various categories of persons listed in Interrogatory 33.

35. Give the names, addresses, positions and professional qualifications of any persons responsible for the training and/or guidelines referred to in Interrogatories 33 and 34.

36. Describe fully defendants' policy and practice with respect to the provisional appointment of Correction Sergeants.

37. List, by name, race, location, and length of service (as provisionals), all persons in the employ of the Corrections Department who as of April 1, 1973 held provisional appointments as Correction Sergeants.

38. For those persons listed in response to the preceding interrogatory who are black or Hispanic, state for each with specificity:

a) the date and location of appointment as Correction Officer;

b) the date of appointment as provisional Correction Sergeant;

c) the name, title, and institution or facility of the official who recommended the provisional appointment;

d) the basis on which that recommendation was made, including work record, seniority, etc.

e) what would have happened to him at the time of defendants' contemplated appointment of permanent Sergeants, but for the Court's temporary restraining order?

39. Identify each person who was notified by defendants in early April, 1973, of his permanent appointment to the rank of Correction Sergeant and who would have, but for this Court's temporary restraining order, assumed those positions on or about April 12, 1973. Include in the identification at least the following:

a) name

b) whether holding provisional sergeant status as of April 1, 1973;

c) institution or facility at which employed as of April 1, 1973;

d) score on most recent Sergeants examination, and position on most recent eligible list;

e) specific location and assignment as Sergeant, as determined prior to entry of Court's order;

f) actual location, assignment, and rank as of May 1, 1973.

40. How many appointments to the rank of Correction Sergeant do the defendants reasonably anticipate making in the next (i) 6 months, (ii) one year, (iii) two years, assuming the Court does not intervene in the appointment process?

41. Describe in detail any affirmative efforts that have been made since January 1, 1969 by either the Civil Service Commission or the Corrections Department to:

a) increase the number of black and Hispanic applicants for the ranks of officers;

b) increase the number of permanent black and Hispanic appointees to the ranks of officers;

c) design educational and experience prerequisites and examination and examination procedures so

that black and Hispanic applicants who are qualified to act as Correction Officers or Correction Sergeants will be enabled to be eligible to take and to succeed on the examinations for such position.

42. State in detail the results of any and all efforts described in answer to the preceding interrogatory. Do the defendants consider these efforts successful, in whole or in part; and in what respects?

43. For each institution or facility listed in response to Interrogatory 2, state the approximate racial and ethnic composition of the inmate population. Indicate specifically if there is any institution or facility at which white inmates are in the majority.

44. State whether incumbent officers of any rank in the Corrections Department were invited to, or did, submit or suggest questions or subject matter areas for use on the most recent examination for Correction Sergeant. If so, state:

a) by whom they were invited to do so, or permitted to do so;

b) the name, race, rank, and location of any officer who did so;

c) what consideration was accorded the suggestion, and whether the question or area, in any form, appeared on the examination.

45. State whether there is now in effect any form of "zone" system for employment at the ranks of Correction Officer or Correction Sergeant, whether for recruitment, hiring, promotion, transfer, or layoff. If so, specifically describe the "zone" system, including:

a) the detailed substance of its provisions;

b) by whom and when it was initiated, and for what purposes;

c) the specific nature of geographical or other preferences given pursuant to the system;

d) the title, date, and custodian of any documents setting forth the system;

e) a specific statement of the facilities and institutions within each zone.

46. State whether, in the past or at present, defendants have placed any limitations or restrictions upon transfer or promotion from one Corrections Department institution or facility to another, or subjected such transfers or promotions to other preferences or prior rights. If so, specifically answer parts (a) - (d) of the preceding interrogatory, for this interrogatory.

47. With respect to plaintiffs Kirkland and Hayes, list each direct supervisor they have had since their employment as Correction Officers by name, race, and title. Also set forth the date and substance of every job evaluation these plaintiffs have received throughout their employ with the Corrections Department, including the name, race, and title of the rating official.

48. With respect to each individual listed in response to interrogatory 38, provide all the same information that was requested in the preceding Interrogatory for the named plaintiffs.

Respectfully submitted,

JACK GREENBERG
JEFFRY A. MINTZ
DEBORAH M. GREENBERG
MORRIS J. BALLER
10 Columbus Circle
Suite 2030
New York, New York 10019

Attorneys for Plaintiffs

PL. EXH. 2-ANSWERS TO FIRST INTERROGATORIES (WITHOUT EXHIBITS)

UNITED STATES DISTRICT COURT
SOUTHERN DISTRICT OF NEW YORK

EDWARD L. KIRKLAND, et al.,	:	
Plaintiffs,	:	
-v-	:	ANSWERS TO FIRST INTERROGATORIES
THE NEW YORK STATE DEPARTMENT OF CORRECTIONAL SERVICES, et al.,	:	73 Civ. 1548
Defendants.	:	

Defendants answering the First Interrogatories directed to them by plaintiffs respectfully allege upon information and belief:

1. The structure of the Department of Correctional Services is set forth in the organizational chart, dated September 1, 1972, submitted herewith as Exhibit "1".

Defendants object to specifying the facilities and institutions which employ personnel outside the correction officer series on the ground such information is unrelated to the subject matter of this action under F.R.C.P. Rules 26(b) and 33(b). Personnel within the correction officer series are assigned to the following facilities*:

Attica Correctional Facility
Auburn Correctional Facility
Clinton Correctional Facility
Coxsackie Correctional Facility
Eastern New York Correctional Facility
Great Meadow Correctional Facility
Green Haven Correctional Facility
Ossining Correctional Facility
Wallkill Correctional Facility
Adirondack Correctional Treatment and Evaluation Center (includes Camp Adirondack**)
Camp Georgetown**
Camp Monterey**
Camp Pharsalia**
Camp Summit**
Community Preparation Correction Center at Albion
Correctional Center for Medical Services at Beacon
Elmira Correctional and Reception Center

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* Excludes women's facilities.

** Correctional Officers only.

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2. Attica Correctional Facility, Auburn Correctional Facility, Clinton Correctional Facility, Coxsackie Correctional Facility, Eastern New York Correctional Facility, Great Meadow Correctional Facility, Green Haven Correctional Facility, Ossining Correctional Facility, Adirondack Correctional Treatment and Evaluation Center, Community Preparation Center at Albion, Elmira Correctional and Reception Center, Wallkill Correctional Facility.

3. To come.

4. Defendants object to rank or other identifying designation of any titles other than those within the correction officer series on the grounds that such information is unrelated to the subject matter of this action under F.R.C.P. Rules 26(b) and 33(b).

The correction officer series consists of the following titles: Correction Officer, Correction Officer (Spanish Speaking), Correction Sergeant, Correction Lieutenant, Correction Captain, Assistant Deputy Superintendent of a Correctional Facility, Deputy Superintendent of a Correctional Facility and Superintendent of a Correctional Facility. The current salary grades, illustrative duties and qualifications for the titles are set forth in the appropriate class specifications submitted herewith as Exhibit "2". The current Salary Grades Schedule for the New York State Classified service is submitted herewith as Exhibit "3". The source of the class specifications submitted as Exhibit "2" is the Division of Classification and Compensation of the Department of Civil Service.

5(i). Department of Correctional Services totals for January 1, 1973:

a. 8321

b. 541

c. 118

d.
18 captains or equivalent
122 sergeants
85 lieutenants
4329 correction officers
44 senior officers
40 charge officers
10 supervising officers
2 chief officers

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c. 1 captain
1 lieutenant
362 correction officers
1 correction hospital charge officer

f. 95 correction officers

g. 129

h. 10

i. 1

j. 19 provisional lieutenants
85 provisional sergeants
20 provisional senior officers
5 provisional charge officers

k. 10 provisional sergeants

l. None

m. Superintendents except at the Correctional Center for Medical Services at Beacon where it is Director. Defendants object to providing the names of the incumbents of the titles aforesaid on the grounds that such information is unrelated to the subject matter of this action under F.R.C.P. Rules 26(b) and 33(b).

n. Repeat answer to subdivision "m".

Facility totals will be provided.

5(ii). Department of Correctional Services totals for May 1, 1973:

a) 8469

b) 569

c) 156

d) 16 captains or equivalent
122 sergeants
99 lieutenants
68 senior officers
4490 correction officers
46 charge officers
2 chief officers
15 supervising officers

PX 2

e) 1 captain
1 lieutenant
395 correction officers
1 charge officer
(Number of Blacks appointed to senior officer titles between January 1, 1973 and May 1, 1973 currently unavailable.)

f) 133 correction officers

g) 89

h) 8

i) 0

j) 85 sergeants
4 provisional senior officers

k) 8 sergeants

l) 0

m) Superintendent except at the Correctional Center for Medical Services at Beacon where it is Director. Defendants object to providing the name of the incumbents of the titles aforesaid on the grounds that such information is unrelated to the subject matter of this action under F.R.C.P. Rules 26(b) and 33(b).

n) Repeat answer to subdivision "m".

Facility totals will be provided.

6. The data requested in interrogatory "6a)" through "6f)" is available only from March 1972 forward.

In answer to (viii), as of January 1, 1973, the Department of Correctional Services totals are as follows:

a) 4329 correction officers

b) 122 sergeants

c) 362 correction officers

d) 10 sergeants

e) 95 correction officers

f) None

In answer to (ix), as of May 1, 1973, the Department of Correctional Services totals are as follows:

a) 4490 correction officers

b) 122 sergeants

c) 395 correction officers

d) 8 sergeants

e) 133 correction officers

f) None

Facility totals for January 1, 1973 and May 1, 1973 will be provided.

7. The educational and physical qualifications and training and experience requirements for correction officer and sergeant are set forth in the class specifications for those titles (Exhibit "2-1" through "2-2").

The tests, evaluations and other criteria used in determining a candidate's suitability for appointment is as follows:

Correction Officer: Written competitive examination; investigation of candidate's background; ranking on eligible list on the basis of competitive examination score and veterans' preference credits (where applicable); selection of candidates from the eligible list; and satisfactory completion of probationary term.

Correction Sergeant: Written competitive examination; ranking on eligible list on basis of competitive examination score, seniority credits and veterans' preference credits (where applicable); canvass of eligibles to ascertain acceptors for geographic areas of State where facilities are located; selection of candidates from among acceptors.

Each permanent appointee must satisfy every aspect of the selection process. There are no relative weights assigned. The passing score on the competitive examination is 70%.

8. Defendants repeat their answer to interrogatory "7" and add in response to a): A candidate for correction officer is placed on an eligible list if he passes competitive, physical and medical examinations and preliminary investigation indicates that his qualifications and background are satisfactory. A candidate for correction sergeant is placed on an eligible list if he passes a competitive examination and has received a satisfactory performance rating for the last year preceding.

Defendants add in response to b): Candidates are selected from eligible lists in rank order. Such appointments are subject to the One in Three Rule. With respect to promotional appointments, the superintendent or his deputy at the institution where the candidate is working is contacted for the purpose of making a recommendation on his suitability for appointment.

9. Provisional appointments to either title can be made only when no eligible list is in existence. Appointees must meet the qualifications for the position established in the class specification (Exhibit "2"). Provisional appointments to senior titles are made on the basis of the recommendations of the superintendents and supervisory security personnel.

10. In the event of a riot or other emergency.

11. Defendants object to interrogatory "11" excluding subdivisions "a)" through "f)" on the grounds the said interrogatory is so vague and indefinite that no answer can be framed.

With respect to subdivisions "a)" through "f)", the information is as follows:

a) The Department of Civil Service is responsible for the preparation of examinations for correction officer and correction sergeant.

b) The Department of Civil Service is responsible for the administration of the examinations with the exception of the period between April 1969 and April 1971 when the examination for correction officer was decentralized to the Department of Correctional Services.

c) The Department of Civil Service is responsible for scoring the examinations except for the period April 1969 to April 1971 when the examination for correction officer was decentralized to the Department of Correctional Services.

d) The Department of Civil Service is responsible for establishing the eligible lists resulting from the examination except for the period April 1969 to April 1971 when the examination for correction officer was decentralized to the Department of Correctional Services.

e) The Department of Civil Service.

f) The Department of Civil Service.

12. To come.

13. Defendants interpose the same objections set forth in answer to Interrogatory "12". With respect to correction sergeant examinations, since 1970 there was one change in content as follows: The 1972 correction sergeant examination (34-944) used 15 items on preparing written material, in place of 15 items on understanding and interpreting written material used in 1970 sergeant examination (34-007). The change was made to reflect the significance of good report preparation among the sergeants' duties.

14. Defendants object to providing any information which identifies or could be used to identify any candidate by name, race and/or failing score on the most recent sergeant's examination (34-944). The information the defendants have that would enable such identification has been entrusted to them by candidates in the belief that it would be held confidential. Its disclosure would violate this understanding and in addition subject the defendants to possible liability in actions brought to enforce the right of privacy and the New York State Code of Fair Practices.

Defendants object to providing such identifying data on the further ground that it is unrelated to the subject matter of this action under F.R.C.P. Rules 26(b) and 33(b).

Defendants agree to provide data describing the number of candidates who took examination no. 34-944, the number of candidates who passed the examination, the number of candidates who were disqualified, the number of candidates who were placed on the eligible list and the ethnic distribution in each group.* This information will be provided upon its receipt by the attorneys for the defendants.

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* At this time it is not known whether ethnic distribution data will be available for disqualified candidates.

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The eligible list resulting from examination 34-944 is submitted herewith as Exhibit "4" and was previously forwarded to plaintiffs' attorneys in response to their first request for the production of documents (Item 3). The eligible list is provided on the understanding that plaintiffs and their attorneys shall have no communication with the persons whose names appear thereon prior to appropriate application to the Court made on notice to the defendants.

15. Yes.

16a). Defendants are not aware of any data which support the conclusion that the examination and examination procedures discourage Blacks and Hispanic persons from applying for the titles.

16b). Defendants are not aware of any data which supports the conclusion that the examinations and examination procedures are culturally biased in the sense that Black and Hispanic people are likely to do less well than white persons becuase of their different cultural and educational backgrounds.

16c). Ethnic distribution data, where available, is provided in answer to Interrogatories "12" and "14".

16d). Numerous employees of the Departments of Civil Service and Correctional Services are involved in the assessment of the impact of the examinations and examination procedures on minorities. The principal unit so involved at present is the section on validation and research in the Department of Civil Service.

17. Repeat answer to Interrogatory "16". Data with respect to the most recent sergeant's examination, 34-944, will be provided as set forth in answer to Interrogatory "14".

18. See answers to Interrogatories "12", "14" and "23".

19. To come.

20. To come.

21. To come.

22. Yes. Defendants believe that their content validation procedures satisfy the EEOC Guidelines.

23. Yes. Defendants believe that content validity is demonstrable under the EEOC Guidelines with respect to those examinations conducted from and after the date the Guidelines became applicable to states and their political subdivisions.

24. Defendants object to providing the information requested in Interrogatory "24" for any examination other than the most recent sergeant's examination (34-044) on the grounds that such information is unrelated to the subject matter of this action under F.R.C.P. Rule 26(b) and 33(b), and upon the further ground that the production of such information constitutes an undue burden upon the defendants. With respect to that examination, the information is as follows:

a) Correction sergeant (male) - October 14, 1972;

b) The process extends from the job analysis phase through the completion of the appeals on the key answers. See answers to Interrogatories "19" through "21".

c) The persons involved in the process are numerous employees of the Departments of Civil Service and Correctional Services. They are identified by unit or category in answer to Interrogatories "19" through "21". The appropriate class specifications setting forth the minimum qualifications of the titles involved are identified in answer to Interrogatory "30".

d) The documentation is discussed in answer to Interrogatories "19" through "21". The custodian is the Department of Civil Service and the units thereof identified in answer to said interrogatories.

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e) and f) The process is described in Interrogatories "19" through "21".

25. Yes. A criterion-related validity study is "underway".

a) At present, it is planned that the study will include the following titles in the Correction Officer series: Correction Officer, Correction Officer (Spanish Speaking), Correction Sergeant and Correction Lieutenant.

b) At present, the study is scheduled for completion in July 1974.

c), d) and e) Defendants object to further description of the projected criterion-related study on the grounds that said study is unrelated to this action challenging examination number 34-944 conducted on October 14, 1972, under F.R.C.P. Rules 26(b) and 33(b).

26. No.

27. Defendants object to providing the information requested in Interrogatory "27" for examinations other than the most recent examination for correction sergeant (34-944) on the ground that such information is unrelated to the subject matter of this action under F.R.C.P. Rules 26(b) and 33(b). With respect to examination 34-944, no such efforts have been made because the performance ratings of the type currently in use for Correction Officer and Sergeant are not appropriate for such comparisons.

28. Yes. See answers to Interrogatories "19" through "21".

29. Employees in the Personnel Examiner series are principally responsible for developing examinations. The class specifications for the titles in that series setting forth the minimum qualifications therefor are submitted herewith as Exhibit "4".

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The individual employees involved in the test development process are numerous and, due to the span of the process, in many instances, unascertainable (see, e.g., answers to Interrogatories "19" through "21"). Accordingly, defendants consider it unduly burdensome, impracticable and, in some instances impossible, to provide names or curriculum vitae with respect to each employee so involved.

With respect to the members of the Civil Service Commission and the Commissioner and Deputy Commissioners of the Department of Correction who constitute the appointing authority, defendants object to providing their professional training and qualifications in the fields of psychometrics, testing and test construction on the ground that their expertise in these fields is not in issue in this action.

30. a) and b) The unit principally responsible for developing of job descriptions and analyses for Correction Officer and Sergeant and for determining the minimum qualifications for these titles is:

Classification and Compensation Division,
Department of Civil Service,
State Campus,
Albany, New York.

The employee in charge of that unit is Bertrand J. Galvin, Director.

c) and d) The unit principally responsible for the design and construction of the competitive examinations and for their administration and grading is:

Division of Examination and Staffing Services,
Department of Civil Service,
State Campus,
Albany, New York.

The employee in charge of that unit is Charles Wolz, Director.

Insofar as plaintiffs request the names of members of the units referred to above, defendants object to providing such information on the grounds alleged in answer to Interrogatory "29".

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31. The members of the units referred to in Interrogatory "30" are selected and promoted through the competitive process required by Civil Service Law. The process includes successful completion of competitive written examinations, selection from an eligible list, completion of a probationary term and performance ratings throughout the career service period. The minimum qualifications for appointment to each position in the classification and pay analyst series are set forth in the class specifications for that series and are submitted herewith as Exhibit "7". The class specifications for examining and staffing service including the minimum qualifications therefor are submitted herewith as Exhibit "6". See Exhibit "5" for the class specifications for the personnel examiner series.

32. In the development of the examinations referred to in Interrogatories "12" and "14", the agencies involved neither hired nor consulted with any outside experts.

33. Yes.

34. With regard to those employees responsible for the activities specified in Interrogatory "33", in-service training is supplied in appropriate areas, and employees are encouraged through a tuition reimbursement policy to further their formal education. Descriptions of in-service training courses will be provided.

35. The person responsible for developing the "in-service" training courses referred to in answer to Interrogatories "33" and "34" is the Assistant Director of Examinations and Staffing Services for those people in the Testing Bureau. He is assisted by principal, associate and senior personnel examiners. The unit is located at the Department of Civil Service, State Campus, Albany, New York.

The qualifications for appointment to the personnel examiner series are set forth in the class specifications therefor (Exhibit "5").

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The person responsible for in-service training in the Bureau of Staffing Services is the Assistant Director. He is assisted by principal, associate and senior staffing services representatives. The qualifications for appointment to the examinations and staffing services series are set forth in Exhibit "6".

36. Repeat answer to Interrogatory "9".

37. Defendants object to providing any information which identifies or could be used to identify any individual by name and race and/or as an unsuccessful candidate in any examination on the grounds alleged in answer to Interrogatory "14".

Defendants agree to provide summary data as of April 1, 1973, showing the number of provisional sergeants, their allocation by facility, the ethnic distribution and length of provisional service where available. That information is as follows:

ACTEC 17 provisionals	17 caucasian	all appointed November 23, 1972
ALBION 2 provisionals	2 caucasian	all appointed February 15, 1973
ATTICA 6 provisionals	6 caucasian	appointment dates* not available
AUBURN 1 provisional	1 caucasian	appointment date* not available
EASTERN 6 provisionals	6 caucasian	appointment dates* not available
ELMIRA 2 provisionals	2 caucasian	appointment dates* not available

* Where appointment dates not available, appointments made within last 18 months.

GREEN HAVEN 12 provisionals	10 caucasian 2 blacks	appointment dates not available 1 appointed 7/[illegible]/[illegible] 1 appointed 8/[illegible]/[illegible]
OSSINING 14 provisionals	6 caucasian 8 blacks	appointment dates not available 6 appointed 6/31/[illegible] 1 appointed 10/12/[illegible] 1 appointed 1/4/[illegible]
WALLKILL 2 provisionals	2 caucasians	appointment dates not available
WOODBOURNE 2 provisionals	2 caucasians	appointment dates not available
MAIN OFFICE 1 provisional	1 caucasian	appointment date not available

38. Defendants object to answering subdivisions (a), (b), (c), (d) and (e) of Interrogatory "38" requiring or enabling identification of individuals by name, race and/or failure on examination on the grounds alleged in answer to Interrogatories "14" and "37" except to state in response to d): The basis for recommendations for provisional appointment to correction sergeant generally are: (1) ability as an Officer, (2) evaluations from the superintendent and supervisory personnel, (3) ability to provide leadership and empathy to inmate population. In response to e): provisionally appointed correction sergeants who cannot be permanently appointed must return to his underlying permanent rank when eligibles are available to fill the position.

39. Defendants object to answering this Interrogatory on the grounds alleged in answer to Interrogatories "14", "37" and "38" except to state that candidates ranked 1 through

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* Where appointment dates not available, appointments made within last 18 months.

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67 have on the eligible list (Exhibit "4") have been considered in making appointments. Of those appointed, four had been appointed provisionally within the 18-month period preceding May 1973. Of those appointed, one is Black and he had no prior provisional service.

40. (i) 10-15
(ii) 20-30
(iii) 40-60

41. To come.

42. To come.

43.

Institution	Total	Black		White		Hispanic		Other	
		No.	%	No.	%	No.	%	No.	%
ATTICA	1208	611	50.6	499	41.3	91	7.5	7	0.6
AUBURN	1492	859	57.6	491	32.9	137	9.2	5	0.3
CLINTON	1741	1015	58.3	448	25.7	276	15.9	2	0.1
COXSACKIE	498	233	47.3	203	41.2	51	10.3	6	1.2
EASTERN	134	89	66.4	23	17.2	22	16.4	0	0.0
ELMIRA	1356	823	62.9	205	15.1	222	21.6	6	0.4
GRT. MEAD.	1180	808	68.5	243	20.6	129	10.9	0	0.0
GRN. HAVEN	1527	947	62.0	409	26.8	169	11.1	2	0.1
OSSINING	910	369	40.5	200	22.0	341	37.5	0	0.0
WALLKILL*	485	189	39.0	237	48.9	58	11.9	1	0.2
ACTEC*	243	107	44.0	119	49.1	17	6.9	0	0.0
GEORGETOWN	79	43	54.4	31	39.3	5	6.3	0	0.0
MONTEREY*	74	32	43.2	35	47.3	6	8.1	1	1.4
PHARSALIA*	65	30	46.2	32	49.2	3	4.6	0	0.0
SUMMIT**	84	32	38.1	46	54.8	6	7.1	0	0.0
ALBION	94	58	61.7	34	36.1	1	1.1	1	1.1
BEACON**	62	25	40.3	35	56.5	2	3.2	0	0.0

* Plurality of white inmates
** Majority of white inmates

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44. Yes.

a) The Department of Civil Service requested the assistance of the Department of Correctional Services in writing items.

b) Three Department of Correctional Services' officers were assigned: one captain (black) and two lieutenants (white), both of whom were on the existing captain's eligible list.

c) The three officers prepared in draft 20 of the 75 items used on the examination, and reviewed all items in the areas of:

1) Laws, rubs and regulations governing the administration of the Department of Correctional Services' facilities;

2) Modern correctional methods and practices;

3) Using good judgment in the correctional field.

See also answers to Interrogatories "19" through "21" for role of Corrections' personnel in determining scope and subject matter emphasis on the examination.

45. Yes. It is only for the placement at the entry level position. It has no effect on promotion.

a) Appointments to each correctional facility will be made from among residents of the geographic region where institutions are situated.

b) This provision was agreed to by both Civil Service and Correctional Services, so as to reduce the massive amount of transfer requests currently received as a result of the old correction officer lists. Under this former system a resident of New York City could well be appointed at Attica. He would then seek to return through the transfer system until he reached his final destination. This system has become totall

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unmanageable, and its existence over past years has led to the racial imbalance in a number of our upstate facilities, where white officers from those areas accept appointment to vacancies downstate, and immediately request reassignment to upstate facilities closer to home. The new regionalized concept is designed to reduce the number of transfer requests by limiting candidates to appointments to facilities in their residential region. However, it was not designed to restrict the transfer rights of officers currently employed in this Department, or any new appointees from old correction officer list No. 29-014. The transfer policy will remain in effect for all ranks above correction officer and we anticipate maintaining a transfer list on a much smaller scale for intre-regional movement as a result of the new correction officer examination.

c) Appointments to each correctional facility will be made from among residents of the geographic region where institutions are situated.

d) Not available.

e) Region I - Allegany, Cattaraugus, Chautauqua, Erie, Genesee, Livingston, Monroe, Niagara, Orleans, Wyoming Counties. Region II - Broome Chemung, Chenango, Cortland, Schuyler, Steuben, Tioga, Tompkins, Yates Counties. Region III - Cayuga, Jefferson, Lewis, Madison, Oneida, Onondaga, Ontario, Oswego, Seneca, Wayne Counties. Region IV - Clinton, Essex, Franklin, St. Lawrence Counties. Region V - Fulton, Hamilton, Herkimer, Saratoga, Warren, Washington Counties. Region VI - Albany, Columbia, Delaware, Greene, Montgomery, Otsego, Rensselaer, Schenectady, Schoharie Counties. Region VII Bronx, Dutchess, Kings, Nassau, New York, Orange, Putnam, Queens, Richmond, Rockland, Suffolk, Sullivan, Ulster, Westchester Counties.

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Facility	Region
Attica	I
Auburn	III
Clinton	III
Green Haven	VII
Ossining	VII
Wallkill	VII
Bedford Hills	VII
Great Meadow	V
Elmira	II
Coxsackie	VI
Eastern New York	VII
Albion	I
Beacon	VII
Adirondack Correctional Treatment and Evaluation Center	IV
Clinton Diagnostic & Treatment Center	IV
Camp Pharsalia	II
Camp Monterey	II
Camp Summit	II
Camp Georgetown	III

46. A description of the interinstitutional transfer procedure follows. An employee wishing to transfer from one institution to another need only file a request with the Department Headquarters in each 12-month period, an opening occurs at an institution, the opening is filled from a list of all those requesting transfer to the institution, the transferee being selected on a first-in-time first-in-right basis. At the conclusion of each 12-month period, the employees who were not reached are placed at the top of the new list in order of seniority.

47. Defendants object, pursuant to Rules 26 and 33, Federal Rules of Civil Procedure, to this Interrogatory on the grounds that, as records are not kept on individual assignments and both correctional officers and first-line supervisors may change assignments on a day-to-day basis, the production of the requested data will impose upon defendants an oppressive and undue burden. Moreover, the information requested is more likely within plaintiffs' personal knowledge. In lieu of answering this interrogatory, defendants will make subject

parties' personnel folders available to them or their attorneys for inspection and copying, on the date scheduled for those depositions that are to take place at Ossining Correctional Facility.

48. Defendants object, pursuant to Rules 26(c) and 33(a), Federal Rules of Civil Procedure, to answering this interrogatory on the grounds that as records are not kept of individual assignments and both correctional officers and first-line supervisors may change assignments on a day-to-day basis, the production of the requested data will impose upon defendants an oppressive and undue burden. Defendants also object on the grounds that the data requested involves the production of information concerning individuals' personnel folders. Such information is maintained on a confidential basis, and by virtue of defendants' agreement with plaintiffs' recognized negotiating representative, subject folders are available only for inspection by the employee upon whom the folder is maintained. Such information as is contained in the subject employees' personnel folders shall be collected or made available only upon presentation of a waiver by the employee in a form suitable to the custodian of said personnel folders.

PX 2

STATE OF NEW YORK)
COUNTY OF ALBANY) ss.:

FRANCIS J. SULLIVAN, being duly sworn, deposes and says:

That he is an Associate Attorney with the New York State Department of Civil Service; that he has read the answers to plaintiffs' First Interrogatories and knows the contents to be true except as to matters therein alleged upon information and belief and, as to these matters, he believes them to be true; that the source of your deponent's information and the basis for his belief are the books and records of the New York State Department of Civil Service and conversations with officers and employees of said Department; that the reason this verification is made by your deponent and not by a party is that the parties are public bodies and officers with no personal knowledge of the facts in issue except that obtained from the books and records of the Department and from conversations with subordinates and except as appears from the text of the answers to said interrogatories and with respect to these answers, the public officers knowledge is specifically limited thereto.

Francis J. Sullivan
FRANCIS J. SULLIVAN

Sworn to before me this
2nd day of May, 1973.

Notary Public of the State of New York
My Commission Expires March 30, 1975

A-1284

PX 2

STATE OF NEW YORK)
COUNTY OF ALBANY) ss.:

VICTOR ZUCKERMAN, being duly sworn, deposes and says:

That he is acting Counsel to the Department of Correctional Services; that he has read the answers to plaintiffs' First Interrogatories and knows the contents thereof to be true except as to matters therein alleged upon information and belief and, as to those matters, he believes them to be true; that the source of his information and the basis for his belief are the books and records of the Department of Correctional Services and conversations with the officers and employees of said Department; that the reason that this verification is made by your deponent and not by a party, is that the parties are public officers with no personal knowledge of the facts in issue except that obtained from the books and records of the Department and from conversations with subordinates and except as appears from the text of the answers to said interrogatories and with respect to these answers, the public officers knowledge is specifically limited thereto.

Victor Zuckerman
VICTOR ZUCKERMAN

Sworn to before me this
[illegible] day of May, 1973

[signature]
Notary Public of the State of New York
My Commission Expires March 30, 197[illegible]

JEANETTE L. WHITEAR
NOTARY PUBLIC, State of New York
No. [illegible]
Qualified in Albany County
Commission Expires March 30, 19[illegible]

A-1285

PX 2

UNITED STATES DISTRICT COURT
SOUTHERN DISTRICT OF NEW YORK

----------X

EDWARD L. KIRKLAND, et al.,

Plaintiffs,

-against-

THE NEW YORK STATE DEPARTMENT OF CORRECTIONAL SERVICES, et al.,

Defendants.

----------X

AFFIDAVIT OF SERVICE

73 Civ. 1548
M.E.L.

STATE OF NEW YORK)
: SS.:
COUNTY OF NEW YORK)

MICHAEL ROERDEN, being duly sworn, deposes and says:

1. I am over 18 years of age, not a party to this action and reside at 1723 Bleeker Street, County of Queens, State of New York.

2. On the 30th day of May, 1973, I served the annexed Answers to plaintiffs' First Interrogatories in the above entitled action on Deborah Greenberg, an attorney for the defendants herein by personally delivering to and leaving copies thereof with a person in charge of the office of said attorney at 10 Columbus Circle, City of New York, County of New York.

MICHAEL ROERDEN

Sworn to before me this
20th day of June, 1973

Assistant Attorney General
of the State of New York

PL. EXH. 3-SUPPLEMENTARY ANSWERS TO PLAINTIFFS' FIRST INTERROGATORIES AND CORRECTED ANSWER TO INTERROGATORY "6" (WITHOUT EXHIBITS)

UNITED STATES DISTRICT COURT
SOUTHERN DISTRICT OF NEW YORK

----------X

EDWARD L. KIRKLAND, et al., :

Plaintiffs, :

- against - : No. 73 Civ. 1548 M.E.L.

THE NEW YORK STATE DEPARTMENT OF CORRECTIONAL SERVICES, ET AL., :

Defendants. :

----------X

SUPPLEMENTARY ANSWERS TO PLAINTIFFS' FIRST INTERROGATORIES AND CORRECTED ANSWER TO INTERROGATORY "6"

3. Defendants hereby supplement their answer to interrogatory "3" by adding thereto the following:

The correctional facilities listed in answer to interrogatory "1" provide for the confinement, discipline treatment and rehabilitation of committed public offenders. The facilities provide for the following services: secure detention; food, clothing and health care; psychiatric assistance, vocational and academic counseling; employment and job-training*; educational; moral training and opportunities for religious observance.

The Adirondack Correctional and Treatment Center conducts a program for all male offenders over 21 for the purpose of developing individualized programs fo control and treatment directed to the improvement of attitudes, skills and behavior. A Center for young male offenders 16-20 years of age.

The Community Preparation Center at Albion services primarily, as the name implies, as a transitional instiution where inmates who have approximately six months or less to serve, are reoriented to a non-institutionalized existence. It is a minimum security institution with a basic educational staff and industries program and, as previously noted, a work release program.

*Work release programs are currently available at Auburn, Attica, Green Haven, Elmira and Albion.

Reception Centers - There are three reception centers for the correctional system, whose primary function is, as the name implies, to receive newly committed inmates, and allocate them, after processing, to the various correctional facilities throughout the State. The reception centers are located at Ossining, Elmira and ACTEC.

These institutions serve to evaluate the newly committed inmates and as a result of the evaluation, to prescribe the program of treatment and security best suited to their needs. Both Ossining and ACTEC serve as reception centers for male offenders over 21 and Elmira serves as the reception center for male offenders 16-20.

Camps - Four camps are maintained by the Department of Correctional Services on a minimum security basis for inmates 16-20 years old. The program maintained by these camps works with the State Conservation Department on various projects within the Department's jurisdiction. This program is in addition to the programs regularly maintained by the Department of Correctional Services at all correctional facilities, but geared toward the appropriate age group.

Hutchinson (Beacon) - Beacon provides a centralized medical treatment facility for all inmates in the system. The facility is intended to provide medical treatment of a more intense or more sustained nature, for example, for retarded, disabled or aged inmates.

5. Defendants' answer to interrogatory "5" is hereby supplemented by adding thereto, the following:

1. A.C.T.E.C. 1/1/73

a. 226

b. 0

c. 0

d. 1 Capt. 7 Lts. 0 Sgts. 198 CO's.

e. 0 All ranks

f. 0 All ranks

g. 20

h. 0

i. 0

j. 2 Lts. 18 Sgts.

k. 0

l. 0

m.)
) Eugene LeFeure, Supt.
n.)

A.C.T.E.C. 5/1/73

a. 226

b. 0

c. 2

d. 1 Capt. 9 Lts. 0 Sgts. 198 CO's.

e. 0 All ranks

f. 2 CO's.

g. 18

h. 0

i. 0

j. 18 Sgts.

k. 0

l. 0

m.)
)
n.) Same

2. ALBION 1/1/73

a. 14

b. 4

c. 0

d. 1 Capt. 1 Lt. 1 Sgt. 10 CO's.

e. 4 CO's.

f. 0 All ranks

g. 1

h. 0

i. 0

j. 1 Lt.

k. 0 All ranks

l. 0 All ranks

m.)
)
n.) Theodore Ried, Supt.

5/1/73

a. 62

b. 7

c. 2

d. 1 Capt. 4 Lt. 2 Sgt. 55 CO's.

e. 7 CO's.

f. 2 CO's.

g. 0

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ALBION 5/1/73

h. 0

i. 0

j. 0 All ranks

k. 0 All ranks

l. 0 All ranks

m.) Same
n.)

3. ATTICA 1/1/73

a. 405

b. 13

c. 2

d. 1 Capt. 8 Lts. 14 Sgts. 375 CO's.

e. 13 CO's.

f. 2 CO's.

G. 7

h. 0

i. 0

j. 2 Lts. 5 Sgts.

k. 0 All ranks

l. 0 All ranks

m.) Ernest Montanye, Supt.
n.)

5/1/73

a. 425

b. 19

c. 4

d. 1 Capt. 8 Lts. 8 Sgts. 400 CO's.

e. 19 CO's.

f. 4 CO's.

g. 8

h. 0

i. 0

j. 8 Sgts.

k. 0 All ranks

l. 0 All ranks

m.) Same
n.)

9 x 3

4. AUBURN

1/1/73

a. 379

b. 4

c. 0

d. 1 Capt. 7 Lts. 15 Sgts. 354 CO's.

e. 4 CO's

f. 0 All ranks

g. 2

h. 0

i. 0

j. 1 Lt. 1 Sgt.

k. 0

l. 0

m.)
)
n.) Robert Henderron, Supt.

2/1/73

a. 409

b. 6

c. 1

d. 1 Capt. 8 Lts. 12 Sgts. 383 CO's.

e. 6 CO's.

f. 1 CO

g. 5

h. 0

i. 0

j. 5 Sgts.

k. 0

l. 0

m.)
)
n.) Same

5. BEDFORD (female)

1/1/73

a. 164

b. 88

c. 1

d. 1 Capt. 6 Lts. 11 Sgts. 146 CO's.

e. 4 Sgts. 84 CO's.

f. 1 CO

LEDYARD (Female)

1/1/73

g. 0

h. 0

i. 0

j. 0

k. 0

l. 0

m.) n.) Janice Warne, Supt.

5/1/73

a. 163

b. 88

c. 1

d. 1 Capt. 6 Lts. 10 Sgts. 146 CO's.

e. 4 Sgts. 84 CO's.

f. 1 CO

g. 0

h. 0

i. 0

j. 0

k. 0

l. 0

m.) n.) Same

6. CLINTON 1/1/73

a. 450

b. 0

c. 3

d. 1 Capt. 6 Lts. 20 Sgts. 420 CO's.

e. 0

f. 3 CO's.

g. 3

h. 0

i. 0

j. 3 Lts.

k. 0

l. 0

m.) n.) J. Edwin LaVallee, Supt.

CLINTON 5/1/73

a. 492

b. 0

c. 3

d. 1 Capt. 9 Lts. 18 Sgts. 420 CO's.

e. 0

f. 3 CO's.

g. 4

h. 0

i. 0

j. 4 Sgts.

k. 0

l. 0

m.)
) Same
n.)

7. COXSACKIE 1/1/73

a. 191

b. 3

c. 2

d. 1 Capt. 6 Lts. 10 Sgts. 174 CO's.

e. 3 CO's.

f. 2 CO's.

g. 0

h. 0

i. 0

j. 0

k. 0

l. 0

m.)
) Harry Fritz, Supt.
n.)

5/1/73

a. 197

b. 3

c. 5

d. 1 Capt. 6 Lts. 10 Sgts. 179 CO's.

e. 3 CO's.

f. 5 CO's.

g. 1

h. 0

COXSACKIE 5/1/73

i. 0

j. 1 Sgt.

k. 0

l. 0

m.)
)
n.) Same

8. EASTERN 1/1/73

a. 232

b. 8

c. 6

d. 1 Capt. 7 Lts. 9 Sgts. 208 CO's.

e. 8 CO's.

f. 6 CO's.

G. 7

h. 0

i. 0

j. 1 Lt. 6 Sgts.

k. 0

l. 0

m.)
)
n.) Jerome Patterson, Supt.

5/1/73

a. 242

b. 8

c. 6

d. 1 Capt. 8 Lts. 9 Sgts. 216 CO's.

e. 8 CO's.

f. 6 CO's.

G. 8

h. 0

i. 0

j. 8 Sgts.

k. 0

l. 0

m.)
)
n.) Same

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9. [illegible] 1/1/73

a. 389

b. 4

c. 3

d. 2 Capts. 13 Lts. 16 Sgts. 353 CO's.

e. 4 CO's.

f. 3 CO's.

g. 2

h. 0

i. 0

j. 2 Sgts.

k. 0

l. 0

m.)
)
n.) Vito Ternullo, Supt.

5/1/73

a. 395

b. 5

c. 7

d. 1 Capt. 11 Lts. 14 Sgts. 364 CO's.

e. 5 CO's.

f. 7 CO's.

g. 5

h. 0

i. 0

j. 5 Sgts.

k. 0

l. 0

m.)
)
n.) Same

10. GREAT MEADOW 1/1/73

a. 356

b. 0

c. 0

d. 1 Capt. 8 Lts. 7 Sgts. 335 CO's.

e. 0

f. 0

g. 5

h. 0

GRANT PARISH 1/1/73

i. 0

j. 5 Sgts.

k. 0

l. 0

m.) J. Leland Cassedes
n.)

5/1/73

a. 374

b. 0

c. 5

d. 1 Capt. 8 Lts. 7 Sgts. 348 CO's.

e. 0

f. 5 CO's.

g. 10

h. 0

i, 0

j. 10 Sgts.

k. 0

l. 0

m.) Same
n.)

11. GRETNA HAVEN 1/1/73

a. 463

b. 69

c. 17

d. 1 Capt. 5 Lts. 3 Sgts. 434 CO's.

e. 67 CO's.

f. 17 CO's.

g. 20

h. 2

i. 0

j. 3 Lts. 17 Sgts.

k. 2 Sgts.

l. 0

m.) Leon Vincent, Supt.
n.)

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GREEN HAVEN 2/3/73

a. 472

b. 105

c. 25

d. 1 Capt. 8 Lts. 8 Sgts. 440 CO's.

e. 103 CO's.

f. 25 CO's.

g. 15

h. 1

i. 0

j. 15 Sgts.

k. 1 Sgt.

l. 0

m.)
)
n.) Same

12. MEDICAL CENTER (MEDCOM)

(excluding females) information on the status of Minority Chrg. Offrs. & Sr. Offrs. is not available

1/3/73

a. 468

b. 50

c. 5

d. 7 Supvg. Officers, 32 Chg. Offrs. 44 Sr. Offrs. 348 CO's.

e. 45 CO's. ?? Charge ?? Senior

f. 4 CO's. ?? Senior

g. 37

h. ?

i. ?

j. 3 Supvg. Offrs. 9 Chg. Offrs. 25 Sr. Offrs.

k. ?

l. ?

m.)
)
n.) Paul Agnese, M.D. Director

5/3/73

a. 522

b. 57

c. 17

d. 13 Supvg. Offrs. 43 Chg. Offrs. 57 Sr. Offrs. 395 CO's.

e. 51 CO's. ?? Charge ?? Senior

f. 15 CO's. ?? Senior

Px3

A-1297

5/1/73

g. 14

h. ?

i. ?

j. 14 Sr. Officers

k. ?

l. ?

m.) n.) Same

13. OSSINING 1/1/73

a. 377

b. 159

c. 24

d. 1 Capt. 2 Lts. 1 Sgt. 394 CO's.

e. 151 CO's.

f. 24 CO's.

g. 19

h. 8

i. 0

j. 5 Lts. 14 Sgts.

k. 8 Sgts.

l. 0

m.) n.) Theodore Schuben, Supt.

5/1/73

a. 393

b. 160

c. 24

d. 1 Capt. 7 Lts. 5 Sgts. 365 CO's.

e. 151 CO's.

f. 24 CO's.

g. 20

h. 9

i. 0

j. 20 Sgts.

k. 9 Sgts.

l. 0

m.) n.) Same

A-1298

14. [redacted] 1/1/13

a. 117

b. 2

c. 5

d. 1 Capt. 6 Lts. 8 Sgts. 100 CO's.

e. 2 CO's.

f. 5 CO's.

g. 2

h. 0

i. 0

j. 2 Sgts.

k. 0

l. 0

m.)
)
n.) Harold Butler, Supt.

2/1/13

a. 118

b. 2

c. 7

d. 1 Capt. 6 Lts. 8 Sgts. 100 CO's.

e. 2 CO's.

f. 7 CO's.

g. 3

h. 0

i. 0

j. 3 Sgts.

k. 0

l. 0

m.)
)
n.) Same

15. WOODBOURNE 1/1/13

a. 255

b. 4

c. 3

d. 1 Capt. 5 Lts. 10 Sgts. 237 CO's.

e. 4 CO's.

f. 3 CO's.

g. 2

h. 0

WOODINVILLE 1/1/73

i. 0

j. 2 Sgts.

k. 0

l. 0

m.)
)
n.) Robert Kuhlman, Director (Employed by NACC)

5/1/73

a. 250

b. 4

c. 5

d. 1 Capt. 5 Lts. 9 Sgts. 231 CO's.

e. 4 CO's

f. 5 CO's

G. 6

h. 0

i. 0

j. 6 Sgts.

k. 0

l. 0

m.)
)
n.) Same

16. ALL CAMPS 1/1/73

a. 94

b. 1

c. 0

d. 94 CO's.

e. 1

f. 0

g. 0

i. 0

j. 0

k. 0

l. 0

m.)
)
n.)

A 1209

ALL UNITS 2/1/73

a. 94

b. 1

c. 0

d. 94 CO's.

e. 1

f. 0

G. 0

h. 0

i. 0

j. 0

k. 0

m.)
)
n.)

17. MAIN OFFICE 1/1/73

a. 4

b. 1

c. 0

d. 1 Capt. 2 Lts. 1 Sgt.

e. 1 Capt.

f. 0

G. 2

h. 0

i. 0

j. 1 Lt. 1 Sgt.

k. 0

l. 0

m.)
)
n.)

A-1301

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MAIN OFFICE 5/1/73

a. 45

b. 12

c. 7

d. 4. Capts. 2 Lts. 1 Sgt. 37 CO's.

e. 1 Capt. 11 CO's.

f. 7 CO's

g. 1

h. 0

i. 0

j. 1 Sgt.

k. 0

l. 0

m.)

n.)

6. Defendants' answer to interrogatory "6" is hereby corrected by striking the last three paragraphs and inserting in their place, the following:

	1/1/73		5/1/73	
	Sgt.	C-0	Sgt.	C-0
a.	122	4329	122	4490
b.	85	0	91	0
c.	0	362	0	395
d.	10	0	10	0
e.	0	95	0	133
f.	0	0	0	0

Facility totals are set forth in the supplemental answer to interrogatory "5".

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7. Defendants supplement their answer to interrogatory "7" by adding thereto, the following, with regard to the tests, evaluations and other criteria for permanent appointment as a correction officer:

Correction Officers are, during the probationary period, required to complete a training course, whose description is annexed as Exhibit 1-A.

12. Defendants object under F.R.C.P. Rules 26(b) and 33(b) to providing the information requested for any Correction Officer examination on the ground that such examinations are unrelated to the subject matter of his action challenging the most recent Correction Sergeant's examination.

Defendants object under F.R.C.P. Rules 26(b) and 33(b) to providing the information requested for any examinations in the Correction Officers series conducted prior to 1970 on the grounds that the review of said examinations is barred by the statute of limitations.

Defendants further advise the court and the parties that with respect to the period prior to March of 1972 ethnic data for sergeants requested in answer to interrogatory "12" subdivisions "d)", "f)", "i)", "j)", "k)", "l)", "n)", is not available.

Defendants further advise the Court and the parties that with respect to the period prior to 1968 for Correction Officer examinations information of the type requested in interrogatory 12 subdivision "c)", "e)", "g)", and "m)" is either not available or is beyond defendants' computer retrieval capacity. With respect to information which is available but beyond defendants' computer capacity, the presentation of such

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information in the form sought by plaintiffs constitutes an undue burden upon defendants. Its presentation is a task which can be accomplished by plaintiffs as well as by defendants.

Defendants agree to provide plaintiffs with access to the information which may be used in answer to interrogatory 12 "c)", "e)", "g)", and "m)" at their request and under appropriate safeguards so as to maintain anonymity.

With respect to the 1972 Correction Sergeants examinations, the information requested is as follows:

No. 34-944 Correction Sergeant (Male) conducted on October 14, 1972

a) 75 Multiple Choice questions.

b) Laws, rules and regulations governing the administration of the Department of Correctional Services Facilities (15 items); using good judgment in the Correction Field (15 items); Preparing written material (15 items); Supervision (15 items); Modern Correctional methods and practices (15 questions).

c) To the extent the information is available, it is supplied in defendant's answer to Interrogatory "14".

The unit of the Department of Civil Services responsible for the development of Correction Sergeant Examinations is the Division of Examinations and Staffing Services and the Research and Validation Unit, State Campus, Albany, N.Y. See answers to interrogatories "19" through "21" and "30".

14. Attached. Certain ethnic data used in compiling this display is subject to correction and verification.

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	1025•	F	CUMF	MEAN	S.D.
		0	15	0.0	0.0
65•					
		0	15	0.0	0.0
63					
		0	15	0.0	0.0
61					
		0	15	0.0	0.0
59					
		0	15	0.0	0.0
57					
		1	15	1014.0	0.0
55					
		0	14	0.0	0.0
53					
		0	14	0.0	0.0
51					
		1	14	1007.0	0.3
49					
		4	13	1007.3	3.3
47					
		1	9	1007.0	0.0
45					
		2	8	1007.5	0.7
43					
		0	6	0.0	0.0
41					
		3	6	1007.0	0.0
39					
		2	3	1009.5	2.5
37					
		0	1	0.0	0.0
35					
		0	1	0.0	0.0
33					
		1	1	1007.0	0.0
31					
		0	0	0.0	0.0
29					
29-		0	0	0.0	0.0

	1017	1018	1019	1020	1021	1022	1023	1024	1025•	F	CUMF	MEAN	S.D.
FREQUENCY	0	0	0	0	0	0	0	0		0			
CUM FREQ	15	15	15	15	15	15	15	15			15		
MEAN	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0				0.0	
S.D.	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0				0.0	

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SCATTER DIAGRAM OF AGENCY AND 34944 N= 15

AGENCY

34944	1000-	1000	1001	1002	1003	1004	1005	1006	1007	1008	1009	1010	1011	1012	1013	1014	1015	1016
65																		
63																		
61																		
59																		
57																		
55																1		
53																		
51																		
49									1									
47				1					1			2						
45									1									
43									1	1								
41																		
39									3									
37									1					1				
35																		
33																		
31									1									
29																		
29-																		
	1000-	1000	1001	1002	1003	1004	1005	1006	1007	1008	1009	1010	1011	1012	1013	1014	1015	1016
FREQUENCY	0	0	0	1	0	0	0	0	9	1	0	2	0	1	0	1	0	0
CUM FREQ	0	0	0	1	1	1	1	1	10	11	11	13	13	14	14	15	15	15
MEAN	0.0	0.0	0.0	48.0	0.0	0.0	0.0	0.0	41.6	44.0	0.0	47.5	0.0	38.0	0.0	55.0	0.0	0.0
S.D.	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	5.2	0.0	0.0	0.5	0.0	0.0	0.0	0.0	0.0	0.0

GRAND TOTALS R= 0.23

	N	MEAN	S.D.
AGENCY	15	1007.9	2.7
34944	15	43.6	5.7

A-1307

EXP

1025+ F CUM MEAN S.D.
0 98 0.0 0.0
0 98 0.0 0.0
1 981007.0 0.0
0 97 0.0 0.0
1 971031.0 0.0
1 961007.0 0.0
2 951037.0 0.0
4 931007.0 0.0
4 891007.3 0.5
15 85 939.3 251.1
12 70 923.4 270.5
13 581007.5 1.3
14 451033.2 4.1
9 311036.8 0.7
8 221037.1 0.4
6 141039.7 6.0
3 81037.3 0.5
3 51007.3 0.6
0 2 0.0 0.0
2 21007.0 0.0
1017 1018 1019 1020 1021 1022 1023 1024
FREQUENCY 0 0 0 0 0 0 0 2 0
CUM FREQ 96 96 96 96 96 96 98 98
MEAN 0.0 0.0 0.0 0.0 0.0 0.0 38.5 0.0
S.D. 0.0 0.0 0.0 0.0 0.0 0.0 2.5 0.0

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SCATTER DIAGRAM OF AGENCY AND 34944 N= 98

AGENCY

34944	1000-	1000	1001	1002	1003	1004	1005	1006	1007	1008	1009	1010	1011	1012	1013	1014	1015	1016
65+																		
63																		
61									1									
59																		
57			1															
55									1									
53									2									
51									4									
49									3	1								
47	1		1				1		12									
45	1								9	1				1				
43									11			1	1					
41								1	10	2								
39							1		8									
37									7	1								
35									5									
33									2	1								
31									2	1								
29																		
29-									2									
	1000-	1000	1001	1002	1003	1004	1005	1006	1007	1008	1009	1010	1011	1012	1013	1014	1015	1016
FREQUENCY	2	0	2	0	0	0	2	1	79	7	0	1	1	1	0	0	0	0
CUM FREQ	2	2	4	4	4	4	6	7	86	93	93	94	95	96	96	96	96	96
MEAN	46.5	0.0	53.0	0.0	0.0	0.0	43.5	42.0	42.9	40.3	0.0	43.0	44.0	46.0	0.0	0.0	0.0	0.0
S.D.	0.5	0.0	5.0	0.0	0.0	0.0	4.5	0.0	6.3	5.9	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0

R=-0.08

GRAND TOTALS

	N	MEAN	S.D.
AGENCY	98	986.4	142.5
34944	98	43.0	6.2

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#	1017	1018	1019	1020	1021	1022	1023	1024	1025+	F	CUMF	MEAN	S.D.
65+										5	12731009.4		1.3
63										9	12651008.2		5.4
61							1	1		29	12561008.1		6.0
59	1		1					1		45	12771006.8		5.8
57	6	1		1			1	1		69	11821007.8		5.9
55	2	1	1	2	1		2	2		97	11131007.9		5.8
53	3	1	2	1	3		1	3		139	10161007.2		5.7
51		1		4			1	2		125	8771007.3		5.5
49	3	1		1	3		2	2		155	7521006.6		5.6
47	2	4		1	1		4	4		162	5971007.6		5.9
45	1			1			1	1		134	4351006.2		4.3
43		2	1		1		3	2		89	3011007.2		6.1
41	1	1	1		1		3			76	2121007.7		5.5
39			1		1		1			51	1361007.5		5.3
37				1						30	851006.9		4.4
35				1			1			19	551007.3		6.3
33							1			19	361007.1		5.4
31							2			10	171007.2		8.1
29										2	71003.5		1.6
29-				1			1			5	51012.4		7.9
	1017	1018	1019	1020	1021	1022	1023	1024	1025+	F	CUMF	MEAN	S.D.
	43.3	25.0	40.0	28.6	30.0	-	40.0	42.1					
FREQUENCY	19	12	5	14	10	0	25	19	0				
CUM FREQ	1185	1197	1202	1216	1226	1226	1251	1270	1270				
MEAN	52.9	48.9	48.2	47.1	48.3	0.0	44.6	51.4	0.0				
S.D.	5.1	4.6	8.2	10.5	5.3	0.0	9.1	4.7	0.0				

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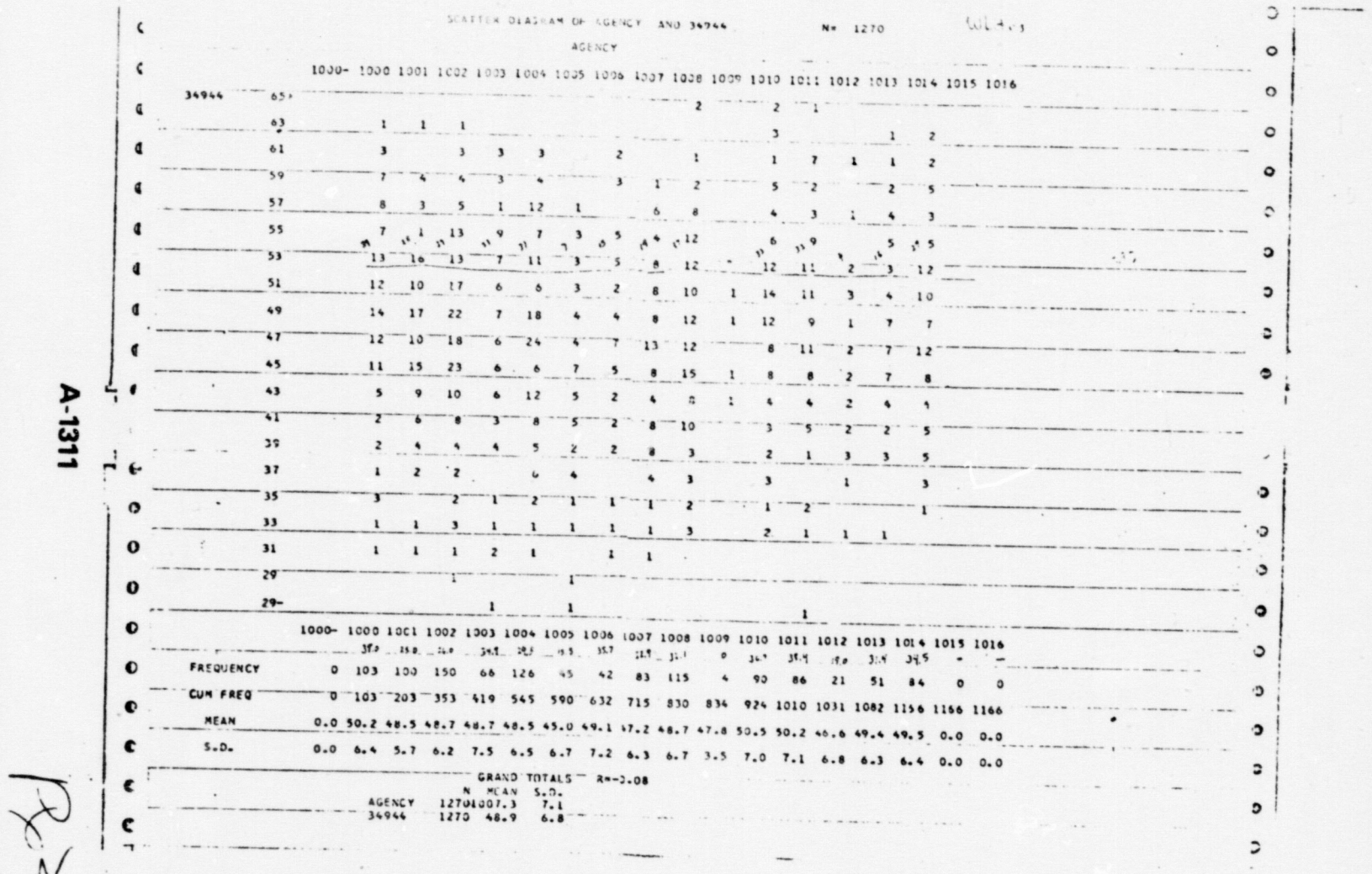
SCATTER DIAGRAM OF AGENCY AND 34944
N= 1270
AGENCY
34944
1000- 1000 1001 1002 1003 1004 1005 1006 1007 1008 1009 1010 1011 1012 1013 1014 1015 1016
FREQUENCY 0 103 100 150 66 126 45 42 83 115 4 90 86 21 51 84 0 0
CUM FREQ 0 103 203 353 419 545 590 632 715 830 834 924 1010 1031 1082 1166 1166 1166
MEAN 0.0 50.2 48.5 48.7 48.7 48.5 45.0 49.1 47.2 48.7 47.8 50.5 50.2 46.6 49.4 49.5 0.0 0.0
S.D. 0.0 6.4 5.7 6.2 7.5 6.5 6.7 7.2 6.3 6.7 3.5 7.0 7.1 6.8 6.3 6.4 0.0 0.0
GRAND TOTALS R=-0.08
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AGENCY 1270 1007.3 7.1
34944 1270 48.9 6.8

A-1311

17. Defendants supplement their answer to interrogatory "17", by adding thereto, the following:

Defendants have attempted to assess the impact of the most recent examination for Correction Sergeant upon Black and Hispanic persons. The procedures followed in preparation such assessment included:

(1) Mailing a copy of the Equal Opportunity Questionnaire to each candidate before the date of the written test. (A copy of this questionnaire was provided to plaintiffs's attorneys with the 1st production of documents request.)*

(2) The Ethnic Research Unit collected all returned questionnaires and held them, confidential from anyone involved with the preparation, holding, and/or analysis of the examination.

(3) After the examination process was completed, the ethnic information was released and matched with candidate answer records so that item analyses for each ethnic group could be produced. These ethnic item analyses were then delivered to the examiners responsible for preparing the written test. Examiners utilized the ethnic item

* It should be noted that the ethnic information requested was voluntary; those who wished to respond sent the completed questionnaires back to the Ethnic Research Unit of the Department of Civil Service.

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analyses to see whether or not there was an indication of differential performance between ethnic groups. For the Sergeant examination, the response to the voluntary questionnaire was quite small. (Only 330 candidates out of 1441 replied.) Thus the ethnic item analyses received for this examination could only be used with caution. We cannot be sure that the performance of those candidates who responded to the questionnaire is representative of the total candidate population. See however the display in answer to interrogatory 14.

a). Defendants have no reason to conclude that Black or Hispanic persons were discourage from applying for the most recent examination for Correction Sergeant (Male).

b). Defendants have no reason to conclude that the examination and examination procedures for Correction Sergeant were culturally biased in the sense that Black and Hispanic persons were likely to do less well than White persons because of their different cultural and educational backgrounds. The examination was

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Prepared to sample a candidate's knowledge, skills, and abilities as related to the job of a Correction Sergeant and not as related to the candidate's previous cultural and educational background.

c). The information presently available regarding the relative success of Blacks and Hispanics on the examination is 1) on the relatively small sample of candidates who filled out the voluntary Equal Opportunity Questionnaire (approximately 330 out of 1441), and 2) the display provided in answer to interrogatory "14".

d). Persons involved in such assessment are particular examiners in the Examinations Division of the Department of Civil Service at Albany and the Research and Validation Unit which is under the supervision of Samuel Taylor.

*34. Defendant's answer to interrogatory 34 is hereby supplemented by adding with regard to those persons responsible for the actual preparation of Examination No. 34-944, their

* "19" through "21" follow "12"

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qualifications. These are:

a. and b. Employees in the Division of Classification and Compensation receive an in-service orientation supplemented by specialized and continuing instruction throughout the employment period. The trainee introductory program includes: the purposes and work of the division; use of research sources, and forms; the techniques of classifications; audit procedures; and organizational survey and specification writing techniques. At various points throughout the process the trainees work is evaluated and he receives feedback on his progress.

c. and d. For employees in personnel examining series, there is a multi-session training course. The outline for which is submitted herewith as Exhibits "12A" through "17A".

41 and 42. Defendants object to providing the information requested in interrogatories "41" and "42" on the grounds that defendants minority recruitment and affirmative action efforts are unrelated to the questions of whether examination No. 34-944 had a discriminatory impact on minorities and whether said examination is job related.

For the information of the Court and the parties, a general statement of the Department of Correctional Services affirmative action program (Administrative Bulletin # 78, dated October 16, 1972) is submitted herewith as Exhibit "18A". The proposed affirmative action program of the Division of Examination and Staffing Services of the Department of Civil Service (Inter-Office Memorandum, dated February 9, 1973) is submitted herewith as Exhibit "19A".

On June 5, 1973, the deposition of the Department of Correctional Services Affirmative Action Office was taken by the plaintiffs' attorneys. Said deposition was taken pursuant to a ruling of the Hon. Morris E. Lasker, made on May 31, 1973 overruling defendants' objection thereto. The elaboration of the Department's Affirmative Action program as requested in interrogatories "41" and "42" was sought during the course of that deposition and given to the best of deponent's knowledge.

"19", "20", and "21".

Defendant object to answering interrogatories "19", "20", and "21" with respect to any title other than Correction Sergeant except insofar as the class specifications ("job description") for that title contemplates the supervision of the duties of employees in the next lower title (Correction Officer).

With respect to "19", the answer is "yes" if by the description "selection criteria" it is meant whether efforts are made to determine the duties of the position, the knowledge, skills, abilities, and/or aptitudes necessary to perform those duties, examinations conducted to test for such knowledge, skills etc., and candidates ranked and selected in order of their scores on such examinations and their other personal qualifications.

See below following "21" with respect to subdivisions a) and b) of interrogatory "19".

With respect to subdivision c) of interrogatory "19", the following units of the Department of Civil Service are responsible for the development and implementation of "selection criteria" for the Sergeant title:

Division of Examining and Staffing Services
Division of Classification and Compensation
The Validation and Research Unit

The persons in charge of those units are and Charles Wolz, Bertrand J. Galvin and Sam Taylor, respectively. Defendants object to identifying the individual employees so involved on the grounds set forth in answer to interrogatory "29".

With respect to "20", the class specifications include a written description of illustrative duties of the title. The class specifications were previously submitted

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as Exhibit "2" to the Answer to the Interrogatories. See below following "21" for a description of the process by which the class specification and other selection criteria are established.

With respect to "21", subdivision a), the three units cited above are located at the Department of Civil Service, State Campus, Albany, New York. The minimum qualifications for employees in the personnel examiner series, the examining and staffing services and the classification and pay analyst series were previously submitted as exhibits "5", "6" and "7" to the Answers to the Interrogatories. Defendants object to providing individualized qualifications or curriculum vitae for units' employees involved in the process on the grounds set for the answer to interrogatory "29".

With respect subdivision b) of interrogatory "21": empirical and rational.

With respect to subdivision c) and d) of interrogatory :21", see below.

Description of the development and implementation of selection criteria applicable to examination 34-944

The process may be conveniently considered as consisting of five principal phases:

1) The definition of the functions of the position and the duties performed. These are discovered through independent investigation of the title series by civil service personnel and through consultation with operating agency's personnel. The findings are then set down in the class specifications or revised class specifications.

2) The definition of knowledge, skills and abilities and/or aptitudes necessary to perform the job. These are as ascertained through independent civil service investigation and consultation with the operating agency. The scope of the examination is established and set forth in the examination announcement together with a description of the knowledge and abilities necessary to be tested.

3) The number and type of subtests and items to be used is decided and the particular iters selected. K, S & A's (Knowledge, Skills and Abilities) are reflected in subtest descriptions, test and subtest plans.

4) After the conduct of the examination, candidates' objections on test content and on the appropriatness and correctness of the proposed key answers are received and reviewed by personnel examiners, an appeals' consultant of the Department of Civil Service and the Committee on Appeals of the Civil Service Commission.

5) Statistical analysis consisting of summary statistics and item analysis are routinely done. In the case of examination No. 34-944, an additional ethnic item analysis was run on the basis a small sample of candidates who returned the voluntary ethnic questionnaires.

Class Specifications

The class specifications of the Correction Officer series now in use were derived from investigations performed by Griffin Hagen and Associates. The specifications were revised in 1956, 1964, 1967, 1971 and 1972.

The revisions made in 1971 were as follows: reallocation of Correction Officer to grade 13 and addition of the duties "takes active part in day to day counseling for rehabilitation..."

The revisions made in 1972 were as follows: addition of duties to Correction Officer "evaluates the performance and attitude of inmate supervised" and "may carry firearm in the performance of certain duties..." Minimum qualifications were revised to add "and must be legally eligible to carry firearms."

The procedures most recently in use in the preparation and revision of class specifications are described in the Memorandum dated December 7, 1972 from Bertrand J. Galvin to the staff (Exhibit "2A"). Information obtained from sources outlined item "1" of the procedure is kept in the specification folder and added to periodically. When there has been sufficient change in either the duties of the position, minimum qualification requirements, salary allocation or title structure, a revised specification is prepared. The revision is printed in tentative form for review as follows:

1. within the Classification and Compensation Division by staff members who are concerned with maintaining the classification plan for their particular departments.

2. the department or departments within which the positions exist.

3. the Staffing Services Sections and the Test Development Sections concerned with recruiting and testing for the positions.

The specifications are then returned to the Division of Classification and Compensation with comments. Appropriate suggested changes are incorporated. In many cases, conferences are held prior to the issuance of the specification at which representatives of the three areas noted above confer to settle any disagreements. When general

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agreement has been reached, the specification is then put in final form and published.

In 1970 and occupational survey was conducted of the Correction Officer and related series. Illustrative material from that survey is submitted herewith as Exhibit "3A". Additional material which cannot be easily reproduced is on file at the Department of Civil Service. Plaintiffs or their attorneys may have access to such material at mutually convenient hours on the understanding they will maintain the security thereof. A letter dated July 29, 1970 from Mr. Cornelius Hanrahan (then Director of Classification and Compensation) to Mr. Willian Ciuros (then President of District Council 82 A.F.S.C.M.E.) briefly summarizing the results of the survey is submitted herewith as exhibit "4A".

Preparation of Sergeant's Examination 34-944)

a. Previous folders reviewed

b. Class Specifications reviewed, and record of 1970 survey reviewed.

c. Conferences:

April: Representatives from Corrections indicated that they would have 3 Lieutenants from the Training Academy be available to prepare and review questions in the correction field.

June: Scope conference - Staffing Services Representatives and Correction Representatives agreed on the titles and length of service needed to take the Sergeant examination. Examiners and Correction Representatives agreed upon the type of test to be held, scope of test (including decision to replace reading comprehension subtest with report preparation). Subtest descriptions on the five subtests are submitted herewith as Exhibits "5A", "6A", "7A", "7-A-1" and "7-A-2".

The report preparation and supervision subtests are further described below:

Preparing Written Material

There were fifteen items included in this examinatic under the rubric "preparing written material." Ten of the items consist of two or three "facts," followed by five choices of the best way to present these facts in writing. Four of the five choices are garbles, ranging from ambiguous presentations to clear distortions of the facts. A fifth choice, the key, is the only choice to present the given facts clearly and accurately. The thrust of these items is not toward "style" or "grammer," but toward clarity: who said what to whom, who did what to whom.

The other five items consist of sentences presented in random, sequence, which the candidates must place in correct order to construct a coherent paragraph. The tasks are simple, focusing particularly upon placing events in proper time sequence.

Both of these item types are reasonable to use for persons who must convey information clearly and accurately -- but not necessarily in polished style.

Supervision

These fifteen items are desigend to test the extent of the candidate's familiarity with accepted principles and practices of supervision. They are designed to give an indication of how the candidate would react to problem situations generally encountered in lower level supervisory positions. How the candidates handle situations such as those involving maintenance of standards, work assignment, training and morale on the written examination offers insight into how they are likely to react to similar

situations on the job. The candidate's measure of success on this material can be used as an estimate of how successful he will be on the job.

The decision on what supervisory material will be used for a given examination is reached after a consideration of several factors.

(1) Scope and complexity of supervisory responsibility.

(2) After (1) has been determined, material is identified which in its prior use has indicated that it is of appropriate difficulty and discrimination for that level of responsibility.

(3) The material is then appraised to determine its conceptual and situational appropriateness for the given job titles.

(4) The material then undergoes whatever revision necessary to most likely ensure that it meets expectations of difficulty, discrimination and appropriateness.

The material coded 1-234-11 was judged, after consideration, to be basically, appropriate for the Correction Sergeant examination of 10/14/72. 1-234-11 had been used on five previous occasions in examinations which tested approximately 550 candidates. Typical of the material's use on these occasions are the results obtained on the Jail Guard II-Suffolk examination of 4/22/72. Fifty-eight candidates competed in this examination; the subtest mean was 3.35 and the standard deviation was 1.93. After this use, the material was appraised and whatever revisions deemed necessary were made for its 10.14/72 use.

The Supervision subtest for Correction Sergeant of 10/14/72 dealt with the following constructs:

Construct

Understanding of the principles and practices involved in the scheduling and assignment of work such as being cognizant of individual subordinate abilities, the effective use of standard operating procedures and efficient use of available resources

Understanding of the principles and practices involved in the training and development of subordinates relative to individual and work group needs

Understanding of the principles and practices involved in maintaining that level of subordinate morale most conductive to effective performance of unit operations

Understanding of the principles and practices involved in evaluating subordinate job performance including appraisal of work methods, quality and quantity

Undertanding of the principles and practices involved in the maintenance of proper lines of administrative communications such as ensuring that subordinates and superiors are properly informed of unit operations.

A Memorandum made following the June 2nd scope conference is submitted herewith as Exhibit "8A". Summary notes and memos pertaining to examination no. 34-944 are submitted herewith as Exhibit "9A".

Review of Items

All subject matter items were reviewed by the Senior and Associate Personnel Examiners in the unit which was given the assignment for the Sergeant examination. All supervision and report preparation items were reviewed by the Associate, Principal, and/or Chief examiners in the section responsible for preparing those subtests. All subject matter items were reviewed by at least 2 and sometimes the three experts from Corrections.

Post-Examination Processing

a. Candidate papers were scored anonymously (no ethnic information).
b. Item analyses and summary statistics reviewed by examiners at same time.
c. Review and answer of appeals following (candidates' review test booklet one week after examination.)

1. 33 objections were received (to the 75 items)

2. Based on appeals, test, item analyses, and consultations with experts in Corrections, it was recommended that 2 of the subject matter item's keys be changes. (One became a triple key, and one became a double key.)

3. Appeals and recommendations were reviewed by the Associate, principal and/or Chief examiner in each section responsible for preparing the subtests. They were then reviewed by the Department on appeals, a Chief Staffing Services representative and a member of the Commission. All agreed with the recommendations of the examiner. Summary date on appeals is submitted as Exhibit "10A".

4. The final key was established with the 2 key changes incorporated. Approved by the Commission.

d. Candidate papers rescored (anonymously)

e. Passpoint determined. (Set at 70% of the total possible score of 75.) Passpoint based on number of vacancies, expected appointments, geographic needs, declinations. Enough people passed at raw score of 70% so that it was deemed unnecessary to convert (lower the passpoint below 70%). The law prohibits setting the passpoint higher than 70%.

f. Eligible list established and candidates notified. Candidates permitted to challenge computational error.

g. A preliminary ethnic item analyses was run on voluntary respondents (330 candidates replied out of 1441), and reviewed for indications of differential performance.

Since complete display was being prepared in order to respond to interrogatory "14", the project was not developed further. The report prepared on the initial sample is submitted herewith as Exhibit "11A". It further appears at this time that there were certain errors in the ethnic identification of the individuals in the small (330) candidate sample.

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STATE OF NEW YORK)
) ss.:
COUNTY OF ALBANY)

VICTOR ZUCKERMAN, being duly sworn, deposes and says:

That he is Acting Counsel to the Department of Correctional Services; that he has read the Supplemental Answers to plaintiffs' First Interrogatories and the Corrected Answer to Interrogatory "6" and knows the contents thereof to be true except as to matters therein alleged upon information and belief and, as to those matters, he believes them to be true; that the source of his information and the basis for his belief are the books and records of the Department of Correctional Services and conversations with the officers and employees of said Department; that the reason that this verification is made by your deponent and not by a party, is that the parties are public officers with no personal knowledge of the facts in issue except that obtained from the books and records of the Department and from conversations with subordinates and except as appears from the text of the answers to said interrogatories and with respect to these answers, the public officers knowledge is specifically limited thereto.

VICTOR ZUCKERMAN

Sworn to before me this
15th day of June, 1973.

Notary Public of the State of New York
My Commission Expires March 30, 1975

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P&B

Plaintiff's Exhibit 4—Class Specifications—New York State Department of Civil Service Correction Officer Series

SPECIFICATIONS--NEW YORK STATE DEPARTMENT OF CIVIL SERVICE

CORRECTION OFFICER SERIES

Correction Officer, Grade ~~13~~ 14
Correction Officer (Spanish Speaking), Grade ~~13~~ 14
Correction Sergeant, Grade ~~15~~ 17
Correction Lieutenant, Grade ~~17~~ 18
Correction Captain, Grade 21 [illegible]
Assistant Deputy Superintendent of Correctional Facility, Grade 23 24
Deputy Superintendent of Correctional Facility, Grade 26 27
Superintendent of Correctional Facility, O.S.

Employees in this series maintain custody and security at State Correctional Facilities and are responsible for the general care and well-being of the inmates, and contribute toward inmate rehabilitation. Normally, employees in any one class in the series are supervised by employees in the next higher class. Appointments are made from separate eligible lists, for men and women, according to the sex of the inmates committed to a particular facility.

Positions involving custody of other types of inmates or custodial care of mentally ill or retarded patients are classified in the Correction Hospital Ward Service Series 6716; Correction Youth Camp Series 8723; Psychiatric Attendant Series 5541; and Narcotic Correction Officer Series 8702.

CORRECTION OFFICER AND CORRECTION OFFICER (SPANISH SPEAKING) under the supervision from a custodial officer of a higher rank, maintains custody of inmates at a correctional facility: has direct custody of inmates in cells, recreation yards, mess halls and other areas; observes and reports as needed, conditions affecting inmate well-being or the general security of the institution; takes an active part in day-to-day counseling for rehabilitation, helps instill proper attitudes in inmates, refers inmates' needs or problems to supervisory, custodial authorities or appropriate staff specialists; oversees inmate work squads inside and outside the institution, evaluating the performance and attitude of each inmate supervised; mans guard towers, gates, and other security posts, makes periodic counts of inmates; escorts inmates to other prisons, to courts, or elsewhere as needed; searches for escaped inmates; guards against injury to inmates, employees, and others and against damage to property; may prepare pre-parole or other reports on inmates; censors mail and inmate packages; makes searches for contraband and does related work as required; may take fingerprints and identification photographs of inmates, employees, and contractors; may carry firearms in the performance of certain duties. QUALIFICATIONS: Men: High school graduation or possession of a high school equivalency diploma issued by the New York State Education Department; in addition, appointees must be at least 21 but less than 37 years old, at least 5'8" in bare feet, weigh at least 145 pounds stripped; have vision at least 20/40 in each eye with or without corrective lenses and not less than 20/70 in each eye unaided; have satisfactory hearing without a hearing aid; be free from any disabling mental or physical defect; and must be legally eligible to carry firearms. Women: High school graduation or possession of a high school equivalency diploma issued by the New York State Education Department; in addition, appointees must be at least 21 but less than 46 years old, at least 5'2" in bare feet, weigh at least 110 pounds, have vision at least 20/40 in each eye with or

Revised
(March 1972)

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corrective lenses and not less than 20/70 in each eye unaided; have satisfactory hearing without use of a hearing aid; be free from any disabling mental or physical defect. CORRECTION OFFICER (SPANISH SPEAKING), in addition to meeting the foregoing qualifications, must pass a qualifying oral test designed to test, against the general background of the position, for ability to speak and understand conversational Spanish as spoken in the major Spanish-speaking areas of New York State. Male appointees must be at least 5'6" with weight proportionate to height in accordance with Department of Civil Service standards.

CORRECTION SERGEANT under direction from higher level custodial officers, is responsible for custody, security, and the general well-being of inmates, usually in an assigned area of a correctional facility; assigns Correction Officers to posts of duty, and enforces proper performance of duties; makes rounds through assigned areas, overseeing security procedures, inspecting sanitary conditions, checking for potential fire and accident hazards, and advising Correction Officers of duty; confers with non-custodial employees in his assigned area as needed; takes precautions to prevent disturbances and escapes; takes periodic counts of inmates; prepares daily reports to superior officers; participates in inmate rehabilitation; oversees mail and general movements of the inmate population; escorts inmates to other points, to courts, or elsewhere as needed; may be responsible for specific functions such as the preparation of custodial assignment charts or supervision of the armory or rifle range; may be placed in charge of the institution, under a Correction Lieutenant, on a night shift. QUALIFICATIONS: Three years of permanent competitive service in a custodial position in the Department of Correctional Services, one year of which must have been as a Correction Officer or Correction Youth Camp Officer.

CORRECTION LIEUTENANT is in charge of a correctional facility on a night shift or on the day and evening shifts assists a higher level custodial officer in supervising the custody, security and well-being of the inmates at a correctional facility; makes sure all security posts are covered during the shift, making assignments as needed to provide proper coverage; makes periodic rounds of the institution; oversees inmate activities during the shift; deals with emergency situations such as inmate illnesses or suicide attempts; takes periodic counts of inmates; provides training to Correction Officers assigned to the shift for that purpose; submits reports on inmate counts and other activities occurring during the shift; assists in the opening of the institution in the morning or in its closing in the evening; assists in supervising the morning or evening meal; may perform supervisory or administrative custodial duties on the day shift under general direction from higher ranking custodial officers; may be in charge of the correctional facility on the day shift under unusual circumstances. QUALIFICATIONS: One year of permanent competitive service as Correction Sergeant.

CORRECTION CAPTAIN under direction from higher level custodial officers, supervises custody, security, and the general well-being of the inmates at a correctional facility; assigns and supervises Correction Lieutenants, Correction Sergeants, and Correction Officers; makes inspections throughout the institution; serves on institution boards and committees such as the management and construction boards; may be responsible for specific functions such as the investigation of accidents and other irregularities, preparation of custodial assignment charts, developing of escape and other emergency procedures, formulation of custodial staff training programs, or the supervision of special units such as the hospital.

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The Correction Captain at each correctional facility normally alternates with the Deputy Superintendent of Correctional Facility in covering either the early or the late day shift, on those days when both officers are on duty. On the early day shift, he would supervise the official opening of the institution, and on the late day shift, its official closing. QUALIFICATIONS: One year of permanent competitive service as Correction Lieutenant.

ASSISTANT DEPUTY SUPERINTENDENT OF CORRECTIONAL FACILITY at a correctional facility, performs duties generally similar to those of a Correction Captain and serves as a more immediate assistant to the Deputy Superintendent of Correctional Facility and assumes the latter's duties during his absence. In addition, alternates with the Deputy Superintendent of Correctional Facility in having responsible charge of the institution on weekends and holidays. QUALIFICATIONS: One year of permanent competitive service as Correction Captain.

DEPUTY SUPERINTENDENT OF CORRECTIONAL FACILITY under direction from a Superintendent of Correctional Facility, is responsible for immediate supervision of the custodial and security program of a correctional facility, and for the general care and well-being of the inmates; acts as immediate head of the custodial staff; enforces departmental and institutional policies, rules, and regulations throughout the facility; coordinates custodial activities with other programs; makes inspections to observe the custodial and security program, factors affecting the well-being of the inmates such as food service and sanitation, and the condition of the physical plant; serves as chairman of boards and committees such as the assignment and commutation boards; conducts an inmate disciplinary program designed to further security and inmate rehabilitation, and serves as head of the disciplinary court; interviews new inmates and those with special problems and complaints; reviews individual inmate work assignments, with particular emphasis on security; reviews reports and other communications from subordinate custodial officers and from responsible non-custodial employees; confers with the Superintendent of Correctional Facility on all matters, serves as his general assistant, and assumes the Superintendent's duties during his absence. Alternates with the Assistant Deputy Superintendent in having responsible charge of the institution on weekends and holidays. QUALIFICATIONS: One year of permanent competitive service as Assistant Deputy Superintendent of Correctional Facility.

SUPERINTENDENT OF CORRECTIONAL FACILITY serves as chief executive officer of a correctional facility: prescribes the rules and regulations of the facility within the limits of general policies and regulations of the Commissioner of Correctional Services; is responsible for the general security of the facility, and for its overall operation; maintains comprehensive programs of inmate custody, treatment, and rehabilitation; assigns and reviews the work of the heads of the education, business management, food service, and other prison departments; makes inspections; submits frequent reports to, and confers periodically with, the Commissioner of Correctional Services. QUALIFICATIONS: One year of permanent competitive service as Deputy Superintendent of Correctional Facility.

Plaintiff's Exhibit 7—Letter dated July 29, 1970 (Hanrahan to Clares)

July 29, 1970

Mr. William J. Murer
Executive Director
Council 82, AFSCME
5 Clarke Avenue
Albany, New York 12206

Dear Mr. Murer:

An application was received on April 30, 1970 from your office requesting the reallocation of Correction Officer, Narcotic Correction Officer, Correction Hospital Officer and Correction Youth Camp Officer to current supervisory levels in each series. In acting on this application, we have utilized job-to-job information regarding the duties and responsibilities of these classes, study numbers of this Division visited [illegible] correction and five narcotics facilities. In addition, information was gathered at formal hearings conducted on June 30 and July 1. We have completed our review of all data furnished including briefs in support of reallocation, the fact-finders reports, exhibits, our field study and hearing reports.

This information, when combined with the findings of review of previous applications which were disapproved, constitutes a record which shows a clear trend in the majority of Correction Officer assignments from a purely custodial role to one which makes more demands on the Officer to influence inmate behavior. Although not readily discernible in earlier studies, this trend has become more evident in the past few years and now affects the work of these positions to a degree which can and should be recognized through salary reallocation. The comparatively new class of Narcotic Correction Officer also has this dual responsibility and should be treated similarly.

Accordingly, the following reallocation determinations have been recommended to the Director of the Budget.

From	To
Correction Officer, Grade 12	Correction Officer, Grade 13
Correction Officer (Spanish Speaking), Grade 12	Correction Officer (Spanish Speaking), Grade 13
Narcotic Correction Officer, Grade 14	Narcotic Correction Officer, Grade 15

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The Correction Captain at each correctional facility normally alternates with the Deputy Superintendent of Correctional Facility in covering either the early or the late day shift, on those days when both officers are on duty. On the early day shift, he would supervise the official opening of the institution, and on the late day shift, its official closing. QUALIFICATIONS: One year of permanent competitive service as Correction Lieutenant.

ASSISTANT DEPUTY SUPERINTENDENT OF CORRECTIONAL FACILITY at a correctional facility, performs duties generally similar to those of a Correction Captain and serves as a more immediate assistant to the Deputy Superintendent of Correctional Facility and assumes the latter's duties during his absence. In addition, alternates with the Deputy Superintendent of Correctional Facility in having responsible charge of the institution on weekends and holidays. QUALIFICATIONS: One year of permanent competitive service as Correction Captain.

DEPUTY SUPERINTENDENT OF CORRECTIONAL FACILITY under direction from a Superintendent of Correctional Facility, is responsible for immediate supervision of the custodial and security program of a correctional facility, and for the general care and well-being of the inmates; acts as immediate head of the custodial staff; enforces departmental and institutional policies, rules, and regulations throughout the facility; coordinates custodial activities with other programs; makes inspections to observe the custodial and security program, factors affecting the well-being of the inmates such as food service and sanitation, and the condition of the physical plant; serves as chairman of boards and committees such as the assignment and commutation boards; conducts an inmate disciplinary program designed to further security and inmate rehabilitation, and serves as head of the disciplinary court; interviews new inmates and those with special problems and complaints; reviews individual inmate work assignments, with particular emphasis on security; reviews reports and other communications from subordinate custodial officers and from responsible non-custodial employees; confers with the Superintendent of Correctional Facility on all matters, serves as his general assistant, and assumes the Superintendent's duties during his absence. Alternates with the Assistant Deputy Superintendent in having responsible charge of the institution on weekends and holidays. QUALIFICATIONS: One year of permanent competitive service as Assistant Deputy Superintendent of Correctional Facility.

SUPERINTENDENT OF CORRECTIONAL FACILITY serves as chief executive officer of a correctional facility: prescribes the rules and regulations of the facility within the limits of general policies and regulations of the Commissioner of Correctional Services; is responsible for the general security of the facility, and for its overall operation; maintains comprehensive programs of inmate custody, treatment, and rehabilitation; assigns and reviews the work of the heads of the education, business management, food service, and other prison departments; makes inspections; submits frequent reports to, and confers periodically with, the Commissioner of Correctional Services. QUALIFICATIONS: One year of permanent competitive service as Deputy Superintendent of Correctional Facility.

Plaintiff's Exhibit 7—Letter dated July 29, 1970 (Hanrahan to Clures)

July 29, 1970

Mr. William Stuart
Assistant
Council 82, AFSCME
[illegible] Avenue
Albany, New York 12207

Dear Mr. Stuart:

An application was received on April 30, 1970 from your office requesting the reallocation of Correction Officer, Narcotic Correction Officer, Correction Hospital Officer and Correction Youth Camp Officer to various supervisory levels in each series. In acting on this application we have considered information received in the written and oral submissions of these classes, staff members of this Division visited [illegible] correction and the narcotics facilities. In addition, information was gathered at formal hearings conducted on June 30 and July 1. We have completed our review of all data furnished including briefs in support of reallocation, the fact-finders reports, exhibits, our field study and hearing reports.

This information, when combined with the findings of review of previous applications which were disapproved, constitutes a record which shows a clear trend in the majority of Correction Officer assignments from a purely custodial role to one which makes more demands on the Officer to influence inmate behavior. Although not readily discernible in earlier studies, this trend has become more evident in the past few years and now affects the work of these positions to a degree which can and should be recognized through salary reallocation. The comparatively new class of Narcotic Correction Officer also has this dual responsibility and should be treated similarly.

Accordingly, the following reallocation determinations have been recommended to the Director of the Budget.

From	To
Correction Officer, Grade 12	Correction Officer, Grade 13
Correction Officer (Spanish Speaking), Grade 12	Correction Officer (Spanish Speaking), Grade 13
Narcotic Correction Officer, Grade 12	Narcotic Correction Officer, Grade 13

PX 7 A-1330

FROM	TO
Correction Hospital Officer, Grade 12	Correction Hospital Officer, Grade 13
Correction Hospital Officer (Spanish Speaking), Grade 12	Correction Hospital Officer (Spanish Speaking), Grade 13
Correction Youth Camp Officer, Grade 12	Correction Youth Camp Officer, Grade 13
Correction Hospital Senior Officer, Grade 13	Correction Hospital Senior Officer, Grade 14
Correction Hospital Charge Officer, Grade 14	Correction Hospital Charge Officer, Grade 15
Narcotic Correction Charge Officer, Grade 14	Narcotic Correction Charge Officer, Grade 15
Correction Sergeant, Grade 15	Correction Sergeant, Grade 16
Correction Youth Camp Assistant Supervisor, Grade 15	Correction Youth Camp Assistant Supervisor, Grade 16
Narcotic Correction Supervising Officer, Grade 16	Narcotic Correction Supervising Officer, Grade 19
Correction Lieutenant, Grade 18	Correction Lieutenant, Grade 19
Correction Hospital Supervising Officer, Grade 17	Correction Hospital Supervising Officer, Grade 19

However, an equally significant effect of this trend is that it has divided the work of the entrance level classes in each of these series into two distinct levels. When this finding was discussed with responsible officials of the agencies involved, there was no serious disagreement as to its accuracy. The majority of the jobs are on the upper level and involve continuous inmate contact which provides the opportunity for influencing the inmate's conduct and his progress toward rehabilitation to a useful and productive life. For this kind of responsibility, we are persuaded that Grade 13 is a more appropriate rate of compensation. The lower level involves assignments in which the incumbents have little or no direct inmate contact and consequently have virtually no opportunity to influence behavior and, as such, are appropriately compensated at the present Grade 12 rate. Therefore, it appears that this significant difference ought to be recognized in the framework of new classifications. However, the same discussions clearly indicated the administrative difficulties which would be involved in developing and implementing such classifications at this time. Accordingly, we have limited the foregoing realications applicable to all incumbents in these classes (as well as the several supervisory classes) so that the more responsible work will be compensated without delay. Furthermore, it would be less than equitable to penalize those employees who were not given assignments involving continuous inmate contact for whatever reason.

This Division is prepared to undertake the indicated study at an early time in cooperation with the interested agencies in an effort to resolve those administrative problems preventing the establishment of new classifications.

Very truly yours,

Cornelius M. Hanrahan
Director of Classification
and Compensation

CMH:ajb

PX 7 A-1331

PL. EXH. 8–FIVE K, S & A STATEMENTS

...Department of Civil Service ☐ NEW ☐ REVISED

TEST CODE 4[illegible]

SUBJECT-TITLE: Using good judgment in the correctional field

No. of Items 15 Section Correction Counselor

Time Limit _____ Examiner K. Seigel, E. Walker

Scoring Formula _____

Multiple Choice 4

DEFINITION OF K S & A (Underline Key Words)

Ability to evaluate situations that might arise in a correctional facility and determine what, if any, action should be taken by an officer or a supervisor. Situations involve supervisor/officer, supervisor/inmate, officer/inmate, and supervisor/public relationships.

DESCRIPTION OF TYPE TASK:

Candidate must read the situation, evaluate it, decide what type of action is warranted for that particular situation, and choose the response that best indicates that action. Test items deal with such job tasks as (a) assigning Correction Officers to posts or jobs, (b) enforcing proper performance of duties, (c) taking steps to correct security precautions, sanitary and safety conditions, (d) relieving Correction Officers on duty, (e) cooperating with non-custodial employees, (f) preventing discrimination and coercion, (g) participating in inmate rehabilitation, (h) overseeing mail and the general movement of the inmate population, (i) escorting inmates to other prisons, courts, etc., and, (j) acting as 2nd in command under a Lt. on a night shift in a facility.

APPROPRIATE FOR:

All Correctional promotion titles (male and female) above the rank of Correction Officer.

Situations are particularly appropriate for line personnel rather than hospital personnel.

[illegible] (6/63)

4-1332

?x8

Test Development Bureau
New York State Department of Civil Service

[XX] NEW [ ] REVISED

TEST CODE 485M

SUBTEST TITLE: Modern Correctional Methods and Practices

No. of Items 15

Time Limit

Scoring Formula

Multiple Choice 4

Section Correction Committee

Examiner K. Siegal, E. Walter

DEFINITION OF K S & A (Underline Key Words)

Knowledge of the problems faced by inmates and officers in a correctional setting and modern methods and techniques to deal effectively with them. Includes knowledge of purposes, objectives, and functions of new programs, knowledge of the proper role and influence of correctional personnel, and knowledge of recent social developments affecting inmates and their behavior.

DEFINITION OF TEST TASK:

Candidates must evaluate the alternatives to each question and choose the best answer consistent with modern theories of correctional methods and practices. Test items deal with such job tasks as (a) enforcing proper performance of duties, (b) making rounds to oversee security procedures, sanitary and safety conditions, (c) advising Correction Officers on duty, (d) cooperating with non-custodial employees, (e) preventing disturbances and escapes, (f) participating in inmate rehabilitation, (g) overseeing meals and the general movement of the inmate population.

APPROPRIATE FOR:

Correctional promotion titles (male & female) above the rank of Correction Officer Appropriate for both line and hospital titles.

Test Development Bureau
New York State Department of Civil Service

[X] NEW [ ] REVISED

TEST CODE 48536

SUBTEST TITLE: Laws, Rules and Regulations Governing the Administration of the Department of Correctional Services Facilities

No. of Items 15

Time Limit

Scoring Formula

Multiple Choice 4

Section Correction Committee

Examiner K. Siegal, E. Walter

DEFINITION OF K S & A (Underline Key Words)

Knowledge of sections of the New York State Correction Law, the Employee Rule Book, and the rules and regulations of the Department of Correctional Services which deal with the proper execution of job functions in a correctional facility; ability to apply such knowledge to job situations.

DEFINITION OF TEST TASK:

Candidates must recall and in some cases interpret appropriate sections of law, rules, and regulations to choose the correct alternatives to questions dealing with such job tasks as (a) enforcing proper performance of duties, (b) advising correction officers on duty, (c) cooperating with non-custodial employees, (d) preventing disturbances and escapes, (e) referring inmate needs to appropriate authorities, and (f) in general, knowing types of sentences and inmate classifications.

APPROPRIATE FOR:

State Correctional promotion titles (male and female) above the rank of Correction Officer.

CD [illegible] (4/5/68)

A-1334

P x 8

SUBTEST DESCRIPTION
Test Development Bureau
New York State Department of Civil Service

SUBTEST CODE 1-510-11

[X] NEW [ ] REVISED

TEST CODE

SUBTEST TITLE: Report Preparation

No. of Items 15

Time Limit

Scoring Formula

Multiple Choice 5

Section X-1

Examiner K. Tang

DEFINITION OF K S & A (Underline Key Words)

Ability to prepare written material.

DEFINITION OF TEST TASK:

10 items: The candidate is to select the choice which most clearly and accurately presents the information given in the stem.

5 items: The candidate is to select the arrangement of several given sentences which forms the most coherent and best-organized paragraph.

APPROPRIATE FOR:

Entrance level investigative positions.

XD-313.1 (4/5/68)

PX8

New York State Department of Civil Service /X/ NEW /_/ REVISED

TEST CODE _____

SUBJECT TITLE: Supervision

No. of Items 15 Section X-1

Time Limit _____ Examiner _____

Scoring Formula _____

Multiple Choice 5

DEFINITION OF K S & A (Underline Key Words)

Knowledge and application of principles and practices of supervision.

DEFINITION OF TEST TASK:

Using the above K S & A, select the choice which best answers the stem.

APPROPRIATE FOR:

Approximately Grades 10 to 14.

CS-313.1 (4/5/63)

A-1336 PX8

TO: The Record

FROM: Mr. Miller.

SUBJECT: Meeting with Department of Correctional Services

DATE: June 2, 1972

STATE OF NEW YORK
DEPARTMENT OF CIVIL SERVICE

INTEROFFICE
MEMORANDUM

A meeting was held on June 1 attended by Bill Nevins and Penny Benbrook of Correctional Services and Messrs. Etter, O'Grady, Siegel, Starke and Lavoie. This meeting was held to discuss promotion examinations in both the Correction Custodial Field and the Correction Hospital Field. It was agreed that all future examinations in these fields, as well as in the Youth Camp Field, will be open to all correction staff in any one of these fields.

The immediate need is for a Sergeant and Lieutenant exam. If possible, these exams will be held in October, but this will depend to a large extent on Correctional Services being able to furnish to us the services of three Lieutenants or Captains for a period of a week, during which time they would prepare items for these examinations. The Sergeant examination will be open to all Correction Officers with six months of service, with two years in service required for appointment. It will also be open to all Correction Hospital Senior Officers and Charge Officers with [illegible] required for appointment. We anticipate about 1200 candidates for this examination.

The Lieutenant examination will be open to all having service as Sergeant, Correction Youth Camp Assistant Supervisor or Correction Hospital Charge Officer, with one year required for appointment. We anticipate about 320 candidates. Mr. Nevins will check to see if we must still open this examination to Food Service Managers with three years as Correction Officer as was done on the last examination.

Mr. Nevins will also check to see if there is any possible need for female Sergeants or Lieutenants in the next year or so.

The scope of the Sergeant examination will read the same as on the last announcement (#3h-037) except that the rubric "understanding and interpreting written material" will be changed to "preparation of written material." This will be the new type of written material preparation question that has been used successfully on the police examination.

The same scope for Lieutenant will be used as was on the last examination (#3h-039) except for the same change as shown above for the Sergeant examination.

Mr. Nevins will also check to see whether there will be any need in the next year or so for the Correction Hospital promotion series. If so, we will schedule on the same date and open up all these titles (see Nov. 26, 1968 series) to the appropriate people, not only in the Correction Hospital field but also in the custodial and youth camp fields.

A-1337

PX 9

ONLY COPY AVAILABLE

If so, we will use the same scores as shown on that announcement except for the change from understanding and interpreting written material to preparing written material.

Chief of Professional Recruitment

cc: All Participants
Mr. Roth

PX 9

PL. EXH. 10-(DIARY) EXCERPTS FROM MEETINGS HELD PRIOR TO 10/14 EXAMINATION (NO. 34-944)

EXCERPTS FROM MEETINGS HELD PRIOR TO 10/14 EXAMINATION

4/5/72: William Nevins will call three Lieutenants from the Correction Academy in Beacon in the near future. The three are recommended by him and are willing to develop items for our use in future Correction Officer and Sergeant exams. These people have been running the training program at Beacon and Matteawan. They should also be utilized to ensure our testing material being compatible with current teaching practices.

At that time we will brief these Lieutenants and show them what we want. Bill Nevins will alert them immediately to the benefits of confidentiality. I have told him that we cannot guarantee that the material will be used but we would like to experiment with the use of these people.

6/1/72: With Jerry, Bill, Herb, Ken, Don Etter, Hank Bankhead, Bill Nevins:

October Series - it will be 3 Lieutenants to help us write items
Lots of doubles
4600 Sergeant candidates
400 Lieutenant candidates

Reading comprehension removed and substitute report preparation.
Hospital Series also.

7/6/72: Bill Nevins, Kevin Dooley, Larry Carman, Bill O'Grady, Ken
October 14, 1972
Sergeant and Lieutenant scopes differ only on Admin.-Supervision vs Supervision.

	34-944 SERGEANT	34-945 LIEUTENANT
Rules & Regulations	X	X
Modern Correction Methods and Practices	X	X
Report Preparation	X	X
Judgment	X	X
Supervision	X	
Admin./Supervision		X

7/26/72: Met with Lieutenants Ciuros, Sperback, and Harris - they will be preparing items for us for the upcoming Correction Promotion Series (10/14/72). They will cover three broad areas: rules, regulations and law; situational judgment; and modern correctional administration and management, principles and practices. They will deal primarily with line positions, but will also attempt to work up some dealing with hospital settings. They will meet back here on Wednesday, August 2 to review the material that they have prepared up until that point.

PX 10

8/2/72: Bill Ciuros, Dave Harris, Hylan Sperback, Ken

Met with groups re: items for Correction Promotion series. Sperback brought items (5) for review. Harris and Ciuros said they are making progress but brought no items.

Reviewed some item defects and discussed additional topics for questions: Some of these were: adjustment committee; Rule 6; situations with riots, people coming to gates; censorship; segregation; use of committee/commission reports (similar to Civil Disorder Commission, etc.) as source material; race questions; law items etc., "union" items, contract terms.

They all seem to have good ideas, but they have got to put the stuff down on paper. The law has been "laid down". We will meet Thursday, August 10 at 9:00 A.M. They will bring their material.

We should decide before that meeting the actual test plan, and the number of items in each rubric that we intend to use. This should help to facilitate matters.

8/17/72: Elaine, Sam Taylor, Bob Fullem, Dave Harris, Hylan Sperbeck, Bill Ciuros, Ken Siegal

Met with above to review items for October promotion examinations.

Reviewed items written by Dave, Bill and Hy. Approximately 35 items were submitted. Many were useful. Some were too close to being straight "Supervision" items. These will have to be recast as Correction items in order to be used. Several topics that we had discussed for possible items were not used. It was suggested that additional items be prepared. We will check with the group next week to see how they are coming along. Sperbeck will be on vacation next week.

8/29/72: Harris, Cuiros, Sperback, Siegal, Walter, Bouldin

Went over more items submitted by Corrections. Agreed to have all items in by September 7 for final review.

7/72: Sperback, Cuiros, Siegal, Walter, Bouldin

Reviewed all legal items and agreed on which 15 to use. Went over all judgment and methods items that were left. Agreed on key answers for those which could be used.

OCTOBER 14 PROMOTION EXAM. (Control dates)

Appeals Received	I.A. Received	Original Final Scores Rec'd.	Appeals package
10/24 10/25 10/27 10/31 11/1	11/16	11/16	to Mrs. Culver 12/4/72 Rec'd from Commission 12/15

2nd run Final Score

sent 12/28
received 1/9

Ethnic IA requested 1/12/73

PX 10

- PL. EXH. 9-INTEROFFICE MEMORANDUM DATED JUNE 2, 1972 (ETTER TO RECORD)

PROJECT EVENTS SUMMARY (Excerpts) January 1972 - July 1972

1. Several meetins were held with Dave Harris, Bill Cuiros, and Hylan Sperback of the Dept. of Correctional Services to develop new questions for the October 14th promotion series. The exam. was prepared and will be held as scheduled.

2. 10/11/72: Hy Sperback brought over post descriptions for Greenhaven, Wallkill, Matteawan, and Summit Youth Camp to aid our job analysis. He reviewed the final form for the 10/14 exam. The Spanish speaking exam is going to be held again November 9 in Albany for upstate candidates whose applications have been held. 30 candidates are expected. Jim is revising the 1972 Correction Officer exam. with the aim of simplifying the language of the items.

3. 10/25/72: Called Bill Cuiros - he won't be in until Thursday.
Received appeals from review held at Albany center only.

4. 11/1/72: Hy Sperback called - planning to come up 11/13 with some books for appeals.

5. 11/16/72: Hy Sperback brought some source material for answering 10/14 appeals.
New trainee group starting today at State Police Academy (50 trainees).
He will be at State Police Academy as of December 7.

6. 11/30/72: Monthly report:

Completed appeals package for 10/14 promotion series
Continuing talks with S-5 re: minimum qualifications (H.S.) for Correction Officers. (Will survey other States to find out their minimum qualifications).
Compiling new questions for February examination.

S-5 will not use our duty statement addition on the announcement.

7. 12/15/72: Arranged to pretest new Correction Officer items on 3 training classes next week (12/19-12/21)

Appeals package received back from Commission.

8. 12/28/72 Sent in final key for 10/14 promotion series (one triple key and two double keys.)

Monthly report: Pretesting
Survey letters
Regional ethnic population report
Supplemental application form.

9. 1/3/73 Received Distribution Memo's back from X-5 with recommended passpoints. Some may not be low enough due to great number of doubles candidates.

10. 1/9/73 Received 2nd run final scores for 10/14 examination - many more passers with key changes.

PX 10

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11. 1/10/73: Passpoints agreed upon for 10/14 promotion series. D.M.'s to Typing pool.

12. 1/11/73: D.M's given to Sam Taylor - not signed.

13. 1/17/73: Meeting held with Don Etter and Henry Bankhead to discuss passpoints from 10/14 examinations. New passpoints agreed upon for Lieutenant and Hospital Supervising Officer

*13.A
14. 4/11/73: Bob Quinn notified us that there is presently a suit in federal court against the 10/14 Correction Sergeant exam. Suit brought by NAACP. The complaint is being sent to us. Requested ethnic I.A.'s from Julian. Sam wants us to set up a "model" for our defense in this action.

15. 4/18/73: Received ethnic I.A. for Correction promotion exams.

16. 4/19/73: Ethnic I.A.'s don't reflect multiple keys!

17. 4/24/73: Jim is studying Black-White item differences on Sergeant exam.

3. 4/27/73: Scores for 1970 and 1972 Sergeant exams, Coxsackie ratings, are on Validation file. Have ordered CORREL, FACTOS, and SCATTERS in connection with court case on 1972 exam.

*13.A 4/10/73: Received letter from Brotherhood of NYS Correction Officers regarding 10/14/72 Sergeant exam. Supposed to be for Don Etter to prepare draft for Mrs. Poston's signature.

PX 10

PL. EXH. 12–CORRECTED DISPLAY IN ANSWER TO PLAINTIFFS' INTERROGATORY NO. 14 (RE: EXAMINATION NO. 34-944)

SCATTER DIAGRAM OF AGENCY AND 34944

AGENCY

1000- 1000 1001 1002 1003 1004 1005 1006 1007 1008 1009 1010 1011 1012 1013 1014 1015 1016

34944

65+
63
61
59
57
55
53
51
49
47
45
43
41
39
37
35
33
31
29
29-

1000- 1000 1001 1002 1003 1004 1005 1006 1007 1008 1009 1010 1011 1012 1013 1014 1015 1016

FREQUENCY	2	0	2	0	0	0	2	1	8	8	0	2	1	1	0	0
CUM FREQ	2	2	4	4	4	4	6	7	15	23	23	25	26	27	27	27
MEAN	46.5	0.0	52.0	0.0	0.0	0.0	43.5	42.0	43.0	42.0	0.0	42.5	46.0	46.0	0.0	0.0
S.D.	0.5	0.0	5.0	0.0	0.0	0.0	4.5	0.0	6.2	7.1	0.0	0.5	0.0	0.0	0.0	0.0

R=-0.08

	N	MEAN	S.D.
AGENCY	104	987.9	139.0
34944	104	43.2	6.3

GRAND TOTALS

Blanks

	1017	1018	1019	1020	1021	1022	1023	1024	1025+	F	CUMF	MEAN	S.D.
65+										0	104	0.0	0.0
63										0	104	0.0	0.0
61										1	1041007.0		0.0
59										0	103	0.0	0.0
57										1	1031001.0		0.0
55										1	1021007.0		0.0
53				1						4	1001010.5		5.5
51										4	961007.0		0.0
49										4	921007.3		0.5
47										16	88	943.6	243.6
45										12	72	923.6	278.5
43										13	601007.5		1.3
41							1			15	471008.3		4.0
39										10	321006.8		0.6
37										8	221007.1		0.4
35							1			6	141009.7		6.0
33										3	81007.3		0.6
31										3	51007.3		0.6
29										0	2	0.0	0.0
25-										2	21007.0		0.0

	1017	1018	1019	1020	1021	1022	1023	1024	1025+
FREQUENCY	0	0	0	1	0	0	2	0	0
CUM FREQ	100+	100+	100+	101+	101+	101+	103+	103+	104
MEAN	0.0	0.0	0.0	53.0	0.0	0.0	38.5	0.0	0.0
S.D.	0.0	0.0	0.0	0.0	0.0	0.0	2.5	0.0	0.0

PX 17 A-1344

SCATTER DIAGRAM OF AGENCY AND 34944 N= 16

HISPANIC

AGENCY

34944		1000	1000	1001	1002	1003	1004	1005	1006	1007	1008	1009	1010	1011	1012	1013	1014	1015	1016
	65+																		
	63																		
	61																		
	59																		
	57																		
	55																1		
	53												1						
	51																		
	49									1									
	47				1					1			2						
	45									1									
	43									1	1								
	41																		
	39									3									
	37									1					1				
	35																		
	33																		
	31									1									
	29																		
	29-	1000	1000	1001	1002	1003	1004	1005	1006	1007	1008	1009	1010	1011	1012	1013	1014	1015	1016
FREQUENCY		0	0	0	1	0	0	0	0	9	1	0	3	0	1	0	1	0	0
CUM FREQ		0	0	0	1	1	1	1	1	10	11	11	14	14	15	15	16	16	16
MEAN		0.0	0.0	0.0	48.0	0.0	0.0	0.0	0.0	41.6	44.0	0.0	49.3	0.0	38.0	0.0	55.0	0.0	0.0
S.D.		0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	5.2	0.0	0.0	2.6	0.0	0.0	0.0	0.0	0.0	0.0

R= 0.29

	GRAND TOTALS N	MEAN	S.D.
AGENCY	16	1008.1	2.6
34944	16	44.2	6.0

PX 12 A-1345

	1017	1016	1015	1020	1021	1022	1023	1024
65+								
63								
61								
59								
57								
55								
53								
51								
49								
47								
45								
43								
41								
39								
37								
35								
33								
31								
29								
29-								
	1017	1018	1019	1020	1021	1022	1023	1024
FREQUENCY	0	0	0	0	0	0	0	0
CUM FREQ	16	16	16	16	16	16	16	16
MEAN	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
S.D.	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0

1025+	F	CUMF	MEAN	S.D.
	0	16	0.0	0.0
	0	16	0.0	0.0
	0	16	0.0	0.0
	0	16	0.0	0.0
	0	16	0.0	0.0
	1	16	10	14.0
	1	15	10	10.0
	0	14	0.0	0.0
	1	14	10	07.0
	4	13	10	07.3
	1	9	10	07.0
	2	8	10	07.5
	0	6	0.0	0.0
	3	6	10	07.0
	2	3	10	09.5
	0	1	0.0	0.0
	0	1	0.0	0.0
	1	1	10	07.0
	0	0	0.0	0.0
	0	0	0.0	0.0
1025+	F	CUMF	MEAN	S.D.
0				
16				
0.0				
0.0				

PX12 A-1346

SCATTER DIAGRAM OF AGENCY AND 34944 N= 1264

AGENCY

34944		1000-	1000	1001	1002	1003	1004	1005	1006	1007	1008	1009	1010	1011	1012	1013	1014	1015	1016
	65+										2		2	1					
	63		1	1	1								3			1	2		
	61		3		3	3	3		2		1		1	7	1	1	2		
	59		7	4	4	3	4		3	1	2		5	2		2	5		
	57		8	3	5	1	12	1		6	8		4	3	1	4	3		
	55		7	1	13	9	7	3	5	4	12		6	9		5	5		
	53		13	16	13	7	11	3	5	8	11		11	11	2	3	12		
	51		12	10	17	6	6	3	2	8	10	1	14	11	3	4	10		
	49		14	17	22	7	18	4	4	8	12	1	12	9	1	7	7		
	47		12	10	18	6	24	4	7	12	12		8	11	2	7	12		
	45		11	15	23	6	6	7	5	8	15	1	8	8	2	7	8		
	43		5	9	10	6	12	5	2	4	8	1	4	4	2	4	4		
	41		2	6	8	3	8	5	2	8	10		2	5	2	2	5		
	39		2	4	4	4	5	2	2	7	3		2	1	3	3	5		
	37		1	2	2		6	4		4	3		3		1		3		
	35		3		2	1	2	1	1	1	2		1	2			1		
	33		1	1	3	1	1	1	1	1	3		2	1	1	1			
	31		1	1	1	2	1		1	1									
	29				1			1											
	29-					1		1						1					
		1000-	1000	1001	1002	1003	1004	1005	1006	1007	1008	1009	1010	1011	1012	1013	1014	1015	1016
FREQUENCY		0	103	100	150	66	126	45	42	81	114	4	88	86	21	51	84	0	0
CUM FREQ		0	103	203	353	419	545	590	632	713	827	831	919	1005	1026	1077	1161	1161	1161
MEAN		0.0	50.2	48.5	48.7	48.7	48.5	45.0	49.1	47.3	48.7	47.8	50.6	50.2	46.6	49.4	49.5	0.0	0.0
S.D.		0.0	6.4	5.7	6.2	7.5	6.5	6.7	7.2	6.3	6.7	3.5	7.0	7.1	6.8	6.3	6.4	0.0	0.0

GRAND TOTALS R=-0.08

	N	MEAN	S.D.
AGENCY	1264	1007.2	7.1
34944	1264	48.9	6.8

WHITE (5)

PX 12 — A-1347

	1017	1018	1019	1020	1021	1022	1023	1024
65+								
63								
61							1	1
59	1		1					1
57	6	1		1			1	1
55	2	1	1	2	1		2	2
53	3	1			2		1	3
51		1		4			1	2
49	3	1		1	3		2	2
47	2	4		1	1		4	4
45	1			1			1	1
43		2	1		1		3	2
41	1	1	1		1		3	
39			1		1		1	
37				1				
35				1			1	
33							1	
31							2	
29								
29-				1			1	
	1017	1018	1019	1020	1021	1022	1023	1024
FREQUENCY	19	12	5	13	10	0	25	19
CUM FREQ	1180	1192	1197	1210	1220	1220	1245	1264
MEAN	52.5	48.9	48.2	46.7	48.3	0.0	44.6	51.4
S.D.	5.1	4.6	8.2	10.7	5.3	0.0	9.1	4.7

(b)

1025+	F	CUMF	MEAN	S.D.
	5	12641009.4		1.3
	9	12591008.2		5.4
	29	12501008.1		6.0
	45	12211006.8		5.8
	69	11761007.8		5.9
	97	11071007.9		5.8
	136	10101007.1		5.7
	125	8741007.3		5.5
	155	7491006.6		5.6
	161	5941007.6		5.9
	134	4331006.2		4.8
	89	2991007.2		6.1
	75	2101007.7		5.5
	50	1351007.6		5.3
	30	851006.9		4.4
	19	551007.3		6.3
	19	361007.1		5.4
	10	171007.2		8.1
	2	71003.5		1.6
	5	51012.4		7.9
1025+	F	CUMF	MEAN	S.D.
0				
1264				
0.0				
0.0				

PX 12 A-1348

PL. EXH. 14-NARRATIVE DESCRIPTION OF EXAMINATION PLANNING AND CONSTRUCTION

NARRATIVE DESCRIPTION OF EXAMINATION PLANNING AND CONSTRUCTION

Correction Sergeant (Male) - Examination No. 34-944

Held October 14, 1972

The Correction Sergeant examination was part of the Correction Promotion Series held on October 14, 1972. The following is a general description of the process that was followed in planning, preparing and reviewing this series.

In late May 1972 the Department of Correctional Services notified the Civil Service Department that they needed examinations for Correction Sergeant (Male) and Correction Lieutenant (Male) because the eligible lists for these titles were depleted and they were now being forced to make provisional appointments.

On June 1, 1972 a meeting was held with representatives of the Correction and Civil Service departments. At that time, the following topics were discussed:

(a) the promotion fields that would be eligible for each of the examinations. It was decided that Correction Hospital uniformed staff would be eligible to take the line promotion examinations.

(b) the scope of the written test for Sergeant and Lieutenant would be the same as in the 1970 examination with the exception that "preparation of written material" would be substituted for "understanding and interpreting written material".

(c) the Department of Correctional Services would provide three Lieutenants or Captains to assist our staff in the preparation of material for this series.

(d) Corrections would also determine whether or not there was a need for examinations in the Hospital titles. If there was a need, then they would be included in the series in October.

In late June we received a request from Corrections asking that examinations for Hospital titles also be included in the October promotion series.

On July 6, 1972 we met with representatives of the Department of Correctional Services to determine the scope for the Hospital examinations. Report preparation was substituted for reading comprehension. In addition, minor changes were made from the 1968 scope of examinations for these titles, so that line candidates for the Hospital positions would be tested on judgmental areas relating specifically to Hospital operations.

Beginning in August, members of the IPA Correction Committee (a three person project team; project described in attachment) met with three members of the Correction Department's uniformed staff. New questions covering the subject matter rubrics of the examination were prepared and critiqued. Members of the IPA committee, as well as other Civil Service staff members visited the Matteawan correctional facility during this period to get additional information on the jobs that were to be tested. Prior to the test date, trips were also made to the Correction Training Program at the State Police Academy, and to the Coxsackie Correctional Facility to gain information on the job of Correction Officer and promotional titles.

*An examination plan and description of the job elements covered and subtests used is attached.

PX 14

PROJECT DESCRIPTION

New York State Department of Civil Service

A Project Approach to use of New Analysis and EDP Technology in Construction and Validation of a Selection Program.

This two-year project is partially funded by the federal government under a grant through the Intergovernmental Personnel Act.

Purpose:

The committee will develop a new selection process for the first three levels of the Correction Officer series, i.e. Correction Officer, Correction Sergeant, Correction Lieutenant, and the corresponding hospital titles. This will be based upon analysis of previously used tests, new tests, and background information studied against suitable work and performance evaluations of employees. The new selection process would be designed to select and/or promote the most qualified candidates for the existing positions within the Department of Correctional Services.

Project Events - descriptions

1. Data Base -

   Setting up a system for routinely collecting, storing, and retrieving test scores, background information, evaluation ratings, etc. on present officers and new candidates. Cooperation from the Department of Correctional Services will be necessary in obtaining background data and performance evaluations on personnel.

2. Analysis of Present Methods -

   Analyzing 1969 - 1972 entrance examinations through item analyses, correlation studies, and factor analyses. Studying of current recruitment techniques, medical/physical examinations, investigative procedures, list maintenance and certification, and appointments..

3. Job Analysis -

   Analyzing duties and skills required for each different type of assignment at different correctional facilities to identify job elements. Field trips to several facilities will be necessary to determine job duties and position classifications.

PX 14

4. Meeting Present Examination Needs -

Preparing promotion examination (October 14, 1972) for correction line and hospital titles, and analyzing results. Preparing and analyzing a new entrance level Correction Officer examination for use during 1973.

5. Job Element/Test Validation -

Developing new selection devices paired to each identified job element. Testing each device on a sample of present officers and comparing test scores with background data and performance ratings. Will require field trips to several correctional facilities to administer the tests. Job element selection devices will be tested on other samples of officers for purposes of cross validation.

6. Completion of Project -

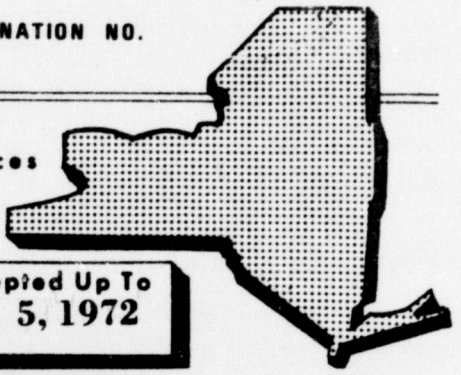
Combining the pre-tested job element selection devices into one or more selection procedures to be turned over to the New York State Civil Service Examinations Division.

PX14

PL. EXH. 17–ANNOUNCEMENT (OF EXAMINATION NO. ~~34-944~~) WITH AMENDMENT

New York State Department of Civil Service Announces

Competitive Promotion Examinations



Examinations To Be Held
OCTOBER 14, 1972

Applications Accepted Up To
SEPTEMBER 5, 1972

NO. 34-945 CORRECTION LIEUTENANT (Male) G-20
NO. 34-944 CORRECTION SERGEANT (Male) G-17

ONLY GENERAL LISTS WILL BE ESTABLISHED AS A RESULT OF THESE EXAMINATIONS.

THESE EXAMINATIONS ARE OPEN TO ALL QUALIFIED EMPLOYEES OF THE DEPARTMENT OF CORRECTIONAL SERVICES

QUALIFYING EXPERIENCE: permanent competitive service as follows:

Examination	For Taking the Test	For Appointment From the Eligible List
No. 34-945 Correction Lieutenant (Male	Service as Correction Sergeant (Male), Correction Youth Camp Assistant Supervisor, or Correction Hospital Charge Officer (Male)	one year as Correction Sergeant (Male), Correction Youth Camp Assistant Supervisor, or Correction Hospital Charge Officer (Male)
No. 34-944 Correction Sergeant (Male)	Service as Correction Hospital Senior Officer (Male) or Correction Hospital Charge Officer (Male)	three years as Correction Hospital Senior Officer (Male) or Correction Hospital Charge Officer (Male)
	OR two years as Correction Officer (Male)*	three years as Correction Officer (Male)*

*Includes service in positions formerly classified as Correction Youth Camp Officer or Correction Hospital Officer.

DUTIES: A *Correction Sergeant*, under direction from higher level custodial officers is responsible for custody, security, and the general well-being of inmates in an assigned area of a prison or reformatory. The Sergeant may be second in charge of the institution, under a Correction Lieutenant, on a night shift.

A *Correction Lieutenant* is in charge of a prison or reformatory on a night shift. He may perform supervisory or administrative custodial duties on the day shift under the general direction of a higher ranking custodial officer; and may be in charge of the prison or reformatory on the day shift under unusual circumstances.

You May Obtain Announcements And Promotion Application Cards, XD-5, From Your Agency Personnel Office

SEE REVERSE SIDE

S-5.4-WAB-JH

Issued: 8/3/72

NOS. 34-944 & 34-945 CORRECTIONAL SERVICES PROMOTIONS G-17 & G-20

SUBJECT OF EXAMINATIONS: *Written test* designed to test for knowledge, skills and/or abilities in such areas as indicated below:

Scope	No. 34-945	No. 34-944
1. Laws, rules and regulations governing the administration of the Department of Correctional Services Facilities	X	X
2. Modern correctional methods and practices	X	X
3. Using good judgment in the correctional field	X	X
4. Preparing written material	X	X
5. Supervision		X
6. Administrative supervision	X	

Points will be added to an eligible score as follows:

Seniority . . . . . For Each Year 0.2

NOTE: Any person, otherwise meeting the requirements for an examination, who was laid off from an agency for which the examination is being held, *and* whose name *is presently* on a preferred list is eligible to compete in the examination. When completing their applications, such persons should be sure to indicate their present State employment and/or the title and location of their last permanent State employment. Refer to your copy of "Rights and Benefits Available to Employees Separated From State Service".

S-5.4-WAB-JH

Issued: 8/3/72

INFORMATION FOR PROMOTION CANDIDATES

ELIGIBILITY FOR EXAMINATION: To be eligible to compete in this examination, you must be permanently employed in the competitive class (or be on a preferred list) and must be, or have been, employed for the specified time in the specified title(s) or grade(s) on a permanent, or contingent permanent basis. You may **NOT** compete in a written test for a title if you are permanently employed in that title or in a higher title in the direct promotion line; upon request, your name will be placed on a transfer roster for the title.

ADMISSION TO EXAMINATION: Notice to appear for the test will be conditional as review of applications may not be made until after the written test. Call or wire this Department if you have not received your notice to appear three days before the date of the first test. All statements made on your application are subject to investigation and a medical examination may be required.

APPLICATION FORMS: These forms are available through your Personnel or Business Office. You may also obtain them by mail or in person at the following offices of the New York State Department of Civil Service, State Office Building Campus, Albany, New York 12226; or 1350 Avenue of the Americas, New York, New York 10019; or Suite 750, Genesee Building, 1 West Genesee Street, Buffalo, New York 14202. Specify the examination by its number and title. Mail your completed application form to: New York State Department of Civil Service, State Office Building Campus, Albany, New York 12226.

This examination is being announced and held in compliance with the New York State Civil Service Law and the Rules and Regulations of the New York State Department of Civil Service.

XD-18 (7/71)

RX17 A-1353

Attention - Important Notice

PLEASE ATTACH TO ANNOUNCEMENT AND POST CONSPICUOUSLY

AMENDMENT TO ANNOUNCEMENT

For Promotion Examination

NO. 34-944 CORRECTION SERGEANT (Male) G-17

QUALIFYING EXPERIENCE: permanent competitive service as follows:

Examination	For Taking the Test	For Appointment From the Eligible List
No. 34-944 Correction Sergeant (Male)	Service as Correction Hospital Senior Officer (Male) or Correction Hospital Charge Officer (Male)	three years combined experience as Correction Hospital Senior Officer (Male), Correction Hospital Charge Officer (Male), or Correction Officer (Male)+
	OR two years as Correction Officer (Male)*	three years as Correction Officer (Male)*

*Includes service in positions formerly classified as Correction Youth Camp Officer or Correction Hospital Officer.

In all other respects, this announcement remains unchanged.

+New Material

Examination To Be Held
OCTOBER 14, 1972

Applications Accepted Up To
SEPTEMBER 5, 1972

S-5.4-WAB-FPE Issued: 8/8/72 NO. 34-944

State Of New York • Department Of Civil Service

PM 7 A-1354

PL. EXH. 18–TEST 485-E (OF EXAMINATION NO. 34-944)

NEW YORK STATE DEPARTMENT OF CIVIL SERVICE

Test 485-E

For Use On Date Of Written Test Only: October 14, 1972

CANDIDATE'S IDENTIFICATION NO. _____

For Use On Date Of Review Only:

REVIEWER'S IDENTIFICATION NO. _____

CORRECTION PROMOTION SERIES

THIS TEST BOOKLET, CONTAINING 60 QUESTIONS, NUMBERED 1 THROUGH 60

CONSISTS OF 8 SHEETS OF PAPER.

ENTER your Identification Number, the number which appears on your Admission or Identification Card, in the space provided in the upper right-hand corner of this page.

COUNT the number of sheets of paper in this Test Booklet. If any page is missing obtain a new booklet from the Monitor. **FAILURE TO REPORT BOOKLETS WITH MISSING PAGES MAY RESULT IN YOUR DISQUALIFICATION.**

YOU ARE RESPONSIBLE for seeing that this is the correct Test Booklet for the examination(s) in which you are competing and that it is complete and not defective in any way. If it is incomplete or defective, obtain a new booklet from the **MONITOR.** No complaints will be accepted after you leave the test room.

DO NOT WRITE IN THIS BOOKLET unless specifically instructed to do so. Credit will be given **ONLY** for answers recorded on the separate Answer Sheet. Answer questions on the separate Answer Sheet in accordance with instructions given on this and the following pages of this Test Booklet, and in your "Monitors' and Candidates' Instructions." If you do not follow these instructions carefully, you may not receive credit for your work. You are responsible for determining which questions you are to answer and for answering only those questions. If you need scratch paper, ask the Monitor to furnish it.

The contents of this written test booklet shall be disclosed only to persons duly authorized by the State Department of Civil Service and to candidates taking the written test. These persons and candidates acquire no rights whatever to the booklet or to the questions contained therein; any unauthorized disclosure, reproduction, or other use by them of such booklet or questions is prohibited under common law copyright existing in favor of the State of New York and State Department of Civil Service.

CANDIDATES ARE WARNED THAT ANY ATTEMPT TO REMOVE COPIES OF THE QUESTIONS, THEIR ANSWERS, THE KEY ANSWERS, SCRAP PAPERS, NOTES, OR ANY OTHER PAPERS OR MATERIALS RELATING TO THIS EXAMINATION, FROM THE PREMISES OF THE TEST OR REVIEW ROOM MAY RESULT IN DISQUALIFICATION.

The Department of Civil Service in establishing the key answers to the test reserves the right to determine whether more than one of the choices listed for each question are to be deemed equally acceptable and credited as such.

The Department of Civil Service further reserves the right to cancel and annul any question whenever, in its judgment and discretion, it deems that none of the listed alternatives is an acceptable answer.

USE ANSWER SHEET XD-41 (Red Ink)

DO NOT OPEN THIS BOOKLET UNTIL YOU ARE GIVEN THE SIGNAL TO DO SO.

XD-32G (3-71)

PX 18

A-1355

The superintendent of a correctional facility appointed by which one of the following dividuals or groups?

the personnel director of the Department of Correctional Services
the Commission of Correction
the Commissioner of Correctional Services
the Department of Civil Service

Which one of the following types of facilities st be on a site approved and controlled by a partment other than the Department of rrectional Services?

. detention center
. youth camp
. residential treatment facility
. general confinement facility

. Which one or ones of the following can intain a "special housing unit" as defined in apter VI of the Rules and Regulations of the partment of Correctional Services?

1. a residential treatment facility
2. a youth camp
3. a general confinement facility

A. 1 and 2, but not 3
B. 2 and 3, but not 1
C. 1 and 3, but not 2
D. 3, but not 1 and 2

. According to the Employee Rule Book, a list of articles approved for possession by inmates shall be published from time to time by the superintendent. This list should be distributed to which of the following individuals?

1. employees of the facility
2. inmates of the facility
3. families of the inmates

A. 1 and 2, but not 3
B. 1 and 3, but not 2
C. 2 and 3, but not 1
D. 1, 2, and 3

5. The age of an offender can be a deciding factor in determining to which facility he should be sent. This age is determined at which one of the following times?

A. at the time the criminal act was committed
B. at the time of apprehension
C. at the time sentence is imposed
D. at the time received at the correctional facility

6. Assume you are a Correction Officer and you are off duty. A local businessman stops you on the street and tells you that he will have several positions available at his business for people experienced in masonry work. He knows that your institution has a masonry training program. He asks you for the names of any inmates who will be released in the near future who might be able to do this work.

Which one of the following best states the reply you should make to the businessman?

A. Give him the names of several inmates who could do this type of work.
B. Tell him that you will have to refer his request to the Superintendent of the facility.
C. Tell him to contact the Senior Parole Officer at the facility for the names of appropriate inmates.
D. Suggest that he see the Facility Service Unit for this information.

7. Each of the following inmates is due to be released soon to reside in County X. The Department of Correctional Services must give 15 hour notice to the sheriff of County X before releasing which inmate?

A. an inmate convicted on any felony count
B. an inmate twice convicted of a felony
C. an inmate convicted of more than three misdemeanors
D. an inmate convicted on a murder charge

ONLY COPY AVAILABLE

PX 18

Which of the following persons could through proper procedures be legally transferred to a state hospital for the mentally ill in the Department of Correctional Services?

1. a youthful offender in a state correctional facility
2. a female serving a sentence in a women's reformatory
3. a felon serving a four-year sentence

1 and 2, but not 3
2 and 3, but not 1
1 and 3, but not 2
1, 2, and 3

A Correction employee, Smith, lives in a state ed residence located on the grounds of a ctional facility. During his vacation period, th took a four day trip to Vermont. Prior to ing, Smith notified the Superintendent of the ity that he would be away from his residence for days.

ch one of the following best describes Smith's ons?

correct, because the Superintendent should be notified of any such absence exceeding 48 hours
incorrect, Smith should have notified the Deputy Superintendent
incorrect, Smith should have notified the Commissioner of Correctional Services
unnecessary, no one had to be notified in this situation

Which one of the following is the maximum e allowance for good behavior which can be nted to a person serving a definite sentence of risonment?

one-sixth of the term imposed by the court
one-fourth
one-third
no allowances can be made for a definite sentence

11. The Employee Rule Book states: "Each fire extinguisher, on the shoulder if possible, shall be painted with a color to indicate the content . . . " A new fire extinguisher containing WATER has just been purchased. It should be painted

A. white
B. yellow
C. red
D. green

12. Which of the following inmates could legally be transferred to a residential treatment facility?

1. an inmate who is eligible for parole
2. an inmate who will be eligible for parole in 4 months
3. an inmate with 6 months remaining to his sentence

A. 1 and 2, but not 3
B. 1 and 3, but not 2
C. 2 and 3, but not 1
D. 1, 2, and 3

13. If, upon rehearing and review of an order to retain a mentally ill patient in a correction hospital beyond the original period of confinement, it is found by the court that the person is NOT mentally ill, to which one of the following places must the person be removed?

A. to a correctional facility
B. to a mental hygiene facility
C. to a court of record
D. to the custody of a relative

P X 18

Assume that Correction Officer James comes ou and states that some of the employees want to a party for another officer who is about to e. James says they want to hold the party in the er's mess hall. They would also like to have an holic punch at the party.

der these circumstances you should inform James

that no alcoholic beverages can be brought into the facility for any reason
that only the Superintendent could allow alcohol within the facility
that an alcoholic punch could not be permitted under these conditions
that alcoholic beverages would be permitted at such a party if no inmates were present

Which one of the following persons mitted to the custody of the Department of rectional Services should legally be delivered to a eption center?

a female over the age of twenty-one certified as being mentally ill
a male over the age of twenty-one who has violated parole
a male under the age of twenty-one under an indeterminate sentence of imprisonment
a male under the age of twenty-one certified as a mental defective

The Seguaw Project, the California Probation ntensive Program, and the Pretrial Intervention ogram are all examples of what type of correctional ogram?

youthful offender treatment
vocational training
community-based
work release

17. Which one of the following is the best way for a Correction Officer to keep the problem cases in a correctional program from becoming critical situations?

A. Consult with superiors as to the type of disciplinary action to be taken with problem cases.
B. Learn to recognize the signs of trouble and ways to deal with them.
C. Seek the help of other correction officers in dealing with most problems.
D. Prepare a good case against problem inmates in the event that a disciplinary hearing is held.

18. If a rule is unpopular with the inmates the supervisor should

A. consistently enforce the rule regardless of its unpopularity
B. apply the rule especially against those inmates who are most vocal in their opposition to the rule
C. continuously emphasize to all inmates the penalty for violating the rule
D. appeal to all inmates to obey the rule in question thereby preparing the way for its possible repeal

19. In explaining to a subordinate the importance of the correction officer's initial contact with a new inmate, which one of the following should the supervisor stress most?

A. the understanding that little can be impressed upon a new inmate in such a short period of time
B. the necessity of securing the proper respect for the officer from the inmate at this point
C. the value of this initial interview in impressing the inmate with the fact that violations of the rules will not be tolerated
D. the constructive influence this initial contact can have on the inmate's future adjustment to confinement

PX 18 A-1358

Which one of the following best states the tionship between discipline and morale?

Where morale is high, discipline will probably be maintained more easily.
Where strict disciplinary measures are enforced, morale will most likely be high.
Where morale is low, discipline is generally found to be lax.
Disciplinary problems are best solved by increasing the inmate's morale.

Which one of the following best explains the ncipal purpose of the employee grievance cedure?

to prevent employee grievances from building up to a point where they may receive undesirable publicity in the public press
to demonstrate that top management is concerned about staff morale
to provide a safety valve for employees who might otherwise resort to more militant conduct
to reveal the existence of inequitable situations and offer an opportunity for their correction

In explaining to a group of new Correction ficers the reasons why their position is so portant in the operations of the Department, the pervisor should emphasize most the fact that

the officer can contribute to the continuity of department policy by carrying out present procedures effectively
the officer has more frequent and more direct contact with the inmate than any other member of the department
the actions of the officers guide the direction the department will take in the future
the officer's behavior determines the degree of adjustment the inmate makes to the facility

The most important factor to keep in mind in ablishing visiting privileges for inmates is the t that liberal visiting policies will generally

increase the opportunities to introduce contraband into the facility
lead to a breakdown of discipline in the facility
interfere with routine facility operations
require major alterations in existing visiting accommodations

24. Which one of the following is the primary function of a public relations program in a correctional department?

A. improving the correction employee's working conditions
B. promoting favorable publicity for the correctional department
C. assisting the correctional department in accomplishing its goals and objectives
D. creating a satisfactory image of the Correction Officer

25. Which one of the following is the most important rule to be observed in the carrying out of an institutional program of inmate activities and privileges?

A. Inmate activities and privileges should be revoked on occasion to avoid having them taken for granted.
B. Activity programs and privileges should be used for purely recreational purposes without regard to their disciplinary value.
C. Inmate activities and privileges should not be too pleasurable or they will interfere with the work program.
D. All inmates should have an equal chance to earn privileges and participate in activity programs.

26. Which one of the following actions by a correction officer is most likely to influence inmates to conform to desired behavior?

A. ignoring most minor behavior problems until they get out of hand
B. using approval and praise as rewards for good behavior
C. imposing penalties such as extra work for improper behavior
D. threatening withdrawal of good behavior time for infractions

27. Which one of the following is the basic purpose of the Adjustment Committee of a facility?

A. to recommend to the Superintendent ideas and suggestions for work release programs for individual inmates at an institution
B. to study each inmate's case history, abilities, and needs; then to recommend a meaningful work and education program
C. to ascertain the facts and circumstances of alleged incidents of inmate misbehavior reported to the superintendent
D. to make recommendations of good behavior allowances to be granted to eligible inmates

PX 18

Which one of the following should be the ary objective of the correctional process?

to obtain from the offender retribution for the crime committed
to help the offender adjust to institutional life
to restore the offender to a constructive role in society
to control the offender for the period assigned by the court

Which one of the following best describes the st proper use of punitive measures in a rectional facility?

Punitive measures should only be used as a last resort when other methods of discipline have failed.
Punitive measures should never be used under any circumstances.
Punitive measures should be used as an initial action to prevent any increase in a "disturbance."
Punitive measures should be used whenever there is a lack of cooperation among individuals.

Which one or ones of the following items annot be consumed by a member of the Muslim aith?

1. pork
2. beef
3. alcohol

A. 1 and 2, but not 3
B. 1, but not 2 and 3
C. 2 and 3, but not 1
D. 1 and 3, but not 2

Assume that two of your more capable subordinates have recently refused to cooperate with each other. The situation is causing tension and disrupting the work of your entire unit. Which one of the following steps should you take first?

A. Assign the subordinates to work which does not require that they cooperate with each other.
B. Tell the two subordinates that they should try to cooperate for the good of the unit.
C. Send written warnings to the two subordinates.
D. Speak to the subordinates individually and try to discover the reason for their refusal to cooperate.
E. Allow the subordinates to solve the disagreement themselves.

32. In order to ensure as much as possible that the day-to-day work is adequately accomplished by his subordinates, a supervisor should do which one of the following?

A. Make a planned effort to develop the abilities of his subordinates so that they can take on the full responsibilities of their positions.
B. Begin a team plan in which the better workers would work with and assist the poorer workers.
C. Review daily the work of each subordinate in his unit.
D. Arrange to have various subordinates take his place when he has to be away.
E. Issue detailed, written instructions to each subordinate.

33. Assume that you supervise a group of employees who perform monotonous, repetitive work. In which one of the following ways can you best assure high morale and maintain satisfactory performance with this group of employees?

A. Give the employees some other kind of work and tell them it is important.
B. Maintain high performance standards and give liberal praise for work well done.
C. Allow the employees freedom in choosing work assignments.
D. Maintain close, strict supervision over each operation performed by the employees.
E. Organize outside activities such as sports, picnics and parties for the employees.

34. Assume that a supervisor has several important reports and a work schedule to prepare which will require considerable thought and concentration. If possible, when should he try to get this work done?

A. after his regular working hours
B. during the early part of his shift
C. whenever possible during his shift
D. during the latter part of his shift
E. on his relief period

PX18 A-1360

Assume that a supervisor wants to correct the akes of one of his subordinates. Which one of the wing should he do?

Give the subordinate written instructions describing the correct procedures.
Point out specific mistakes and advise the subordinate how to avoid them.
Call a meeting and without mentioning any specific subordinate, point out the mistakes that have been made.
Discuss with the subordinate the mistakes in his work, the results of the mistakes, and what the subordinate can do to correct them.
Point out to the subordinate that his work performance is below average.

Which one of the following is most likely to courage a new worker?

to be assigned work which he feels is beneath his abilities
to be given work for which he is held strictly responsible
to be neglected during the early stages of employment
to be criticized for unusually low production
to be assigned work he is not familiar with

. Keeping his subordinates informed is just one lf of the supervisor's process of communication. e other half of the process is

using a number of different methods for communicating information
ensuring that the information is clear
making sure that information is up-to-date
giving subordinates an opportunity to express their ideas
handling unpleasant news tactfully

3. Which one of the following is the best dication that a supervisor is doing a good job in ndling his subordinates' grievances?

. There are no more than the average number of grievances.
. Turnover is decreasing.
. His subordinates do their work adequately.
. His subordinates do not complain to the supervisor's superior.
. His subordinates feel free to discuss their complaints with him.

39. If all of the following conditions existed, which one would best indicate that the supervisor of a work unit is a superior rather than an average supervisor?

A. The subordinates willingly work toward agency objectives.
B. The subordinates file very few grievances.
C. The supervisor believes that he is doing a good job.
D. The supervisor has requested additional employees in order to expand the unit's work.
E. The subordinates feel free to ask the supervisor for advice on personal problems.

40. Which one of the following is the greatest DISADVANTAGE of standard operating procedures?

A. They allow simple operations to be reduced to a routine.
B. They provide a means of checking on employees' performance.
C. They prevent employees from doing better than average work.
D. They shorten the time required to train new employees.
E. They promote uniformity when a change would increase efficiency.

41. Of the following methods, which one is best for a supervisor to use in determining whether or not each of his subordinates is doing his job correctly?

A. observing the subordinates at work
B. having the subordinates describe their methods at a meeting
C. reviewing carefully the correct method of performing the job when he is assigning it
D. training all the subordinates himself
E. having each subordinate evaluate his own method against a standard procedure

42. Of the following, which one is most important for the supervisor to do during the probationary period of a new subordinate?

A. Discover what the subordinate's attitude is toward the organization.
B. Consider whether the subordinate is actually the right person for the job.
C. Help the subordinate with each detail of his work.
D. Explain the overall picture of the organization and how the subordinate fits into it.
E. Ensure that the subordinate meets everyone with whom he will have contact in his work.

43. Assume that your superior has told you about some impending changes in the organization for which you work. However, he asked you to keep the information confidential until a formal announcement is made. You later overhear two of your subordinates talking about the changes. You hear enough of the conversation to know that they don't have all the facts about the changes. Which one of the following actions would be most appropriate for you to take first in this situation?

A. Tell your superior that rumors are circulating among your staff about the impending changes.
B. Tell the two subordinates the facts about the changes and ask them to keep the information confidential.
C. Tell the two subordinates that some of their information is not true and to not pass it any further.
D. Tell the two subordinates that a formal announcement of the changes will be made soon.
E. Call a meeting of your entire staff to tell them that some changes are being considered and that you will make an announcement as soon as possible.

44. Which one of the following should be of primary importance to a supervisor when evaluating a subordinate?

A. the subordinate's willingness to accept new assignments
B. the subordinate's attendance and tardiness records
C. the subordinate's ability to get along with others
D. the subordinate's work quality and quantity
E. the subordinate's performance compared with that of his co-workers

45. Which one of the following approaches should a supervisor take when teaching a subordinate a new job?

A. Explain the difficult parts of the job first then, once they are understood, complete the instruction.
B. Explain the job beginning with the facts that the subordinate already knows.
C. Have the subordinate first attempt to do the job by himself.
D. Attempt to carry out the entire instruction without interruption.
E. Tell the subordinate to seek additional information about the operation from fellow employees.

PX 18 A-1362

DIRECTIONS: Read the information given in each of the following questions carefully. Then select the choice which presents the information most clearly and accurately.

16.
Mr. Green must add up the figures for the report.
He must check the addition, and enter the figures in the report.
He must then submit the report to the supervisor.

Which one of the following best presents the information given above?

A. The figures for the report must be added up, the addition checked, the figures entered in the report, and the report submitted to the supervisor by Mr. Green.
B. Before the report is submitted to the supervisor by Mr. Green, he must add up the figures and enter them in the report, before which the addition must be checked.
C. Mr. Green must add up the figures for the report, check the addition, enter the figures in the report, and then submit the report to the supervisor.
D. Before entering figures in the report Mr. Green must add up the figures, check the addition, and submit the report to the supervisor.
E. Mr. Green must add up the figures for the report, but before entering them in it, he must check the addition, and submit the report to the supervisor.

17.
The repairman said that he would fix the clock in room 312.
He said that he would not fix the clock in room 313.

Which one of the following best presents the information given above?

A. The repairman said that he would fix only one clock in 312 and 313.
B. The repairman said that he would fix the clock in room 312, but not the one in room 313.
C. The repairman, who said only that he would fix one of the two clocks in rooms 312 and 313, would not fix the one in room 313.
D. Of the two rooms with broken clocks, 312 and 313, the repairman said he would fix one but not the other.
E. The repairman only said that he would fix the clock in room 312, not in room 313.

18.
Last year Americans spent $1.3 billion on pet food.
That is twice the amount they had spent five years earlier for pet food.

Which one of the following best presents the information given above?

A. Last year $1.3 billion was spent on pet food, twice the amount Americans had spent on pet food five years earlier.
B. Last year Americans spent $1.3 billion on pet food, which was twice as much as they had spent on it five years earlier.
C. Last year Americans spent twice as much as they had five years earlier, or $1.3 billion.
D. Last year Americans spent twice as much as five years earlier, as they spent $1.3 billion on pet food.
E. Last year Americans spent twice as much on pet food as they had five years earlier when they spent $1.3 billion.

PX18

49.
The supply order must be filled out in triplicate.
It must be approved by the central office.
No supplies will be issued unless both of these conditions are met.

Which one of the following best presents the information given above?

A. The central office will not issue supplies unless it receives the supply order filled out in triplicate.
B. Since all supply orders must be filled out in triplicate, the central office must give its approval before supplies can be issued.
C. No supplies will be issued by the central office unless it approves the supply order and fills it out in triplicate.
D. To issue supplies the central office must approve a supply order. It must also be filled out in triplicate.
E. No supplies will be issued unless the supply order is filled out in triplicate and approved by the central office.

50.
Mr. Albert agreed to assist Mr. Roberts.
He said that he had done this because Mr. Roberts was a good worker.

Which one of the following best presents the information given above?

A. Mr. Albert agreed to assist Mr. Roberts because he said he was a good worker.
B. Mr. Albert agreed to assist Mr. Roberts. He said that he had done this because he was a good worker.
C. Mr. Albert said that he agreed to assist Mr. Roberts because he said he was a good worker.
D. Mr. Albert said that he had agreed to assist Mr. Roberts because Mr. Roberts was a good worker.
E. Because he was a good worker, Mr. Albert agreed to assist Mr. Roberts.

51.
The supervisor should train new employees.
Only when the supervisor cannot do the training may it be done by the central office.

Which one of the following best presents the information given above?

A. The training of new employees may be done only by either the central office or the supervisor unless he is unable to do it.
B. Only when the supervisor is unable to do it may the central office train new employees.
C. The supervisor should train new employees only when, should he be unable to do it, the central office may.
D. Only the central office may train new employees when the supervisor is unable to do it.
E. Only when new employees need training will the central office be able to do it when the supervisor cannot.

52.
Mr. Smith says that he did do some work in the office.
But he denies that he ever told Mr. Jones to finish the job.

Which one of the following best presents the information given above?

A. That he, Mr. Smith, ever told Mr. Jones to finish the job he denies. However, he did do some work in the office.
B. Having done some work in the office, Mr. Smith denies ever telling Mr. Jones to finish the job.
C. Mr. Smith did some work in the office. He denies telling Mr. Jones to finish the job.
D. Having denied telling Mr. Jones to finish the job, Mr. Smith says that he did do some work in the office.
E. Mr. Smith says that he did do some work in the office, but denies ever telling Mr. Jones to finish the job.

PX 18

illiams made an error in a report.
oing this increased his workload.
o increased the workload of his assistants.

h one of the following best presents the information given above?

The error in a report made by Mr. Williams increased his assistants' workload and also himself.
A report, in which Mr. Williams made an error, increased his own workload and that of his assistants.
Mr. Williams' report increased his workload and that of his assistants. He made an error.
Mr. Williams increased his own workload and that of his assistants by making an error in a report.
The workload of his own and his assistants that Mr. Williams increased was because of a report in which he made an error.

latest new car models pollute less than earlier models.
there is more automotive pollution today than ever before.
is because the number of cars on the road is constantly increasing.

ch one of the following best presents the information given above?

Because the latest new car models pollute less than earlier models, both the number of cars on the road and the amount of automotive pollution are constantly increasing.
Since the number of cars on the road is constantly increasing, the latest new car models pollute less than earlier models, but there is more automotive pollution today than ever before.
New car models which pollute less than earlier models are increasing in number on the road, but there is more automotive pollution today then ever before.
Although new car models pollute less than earlier models, there is more automotive pollution today than ever before because of the constantly increasing number of cars on the road.
Polluting less than earlier models, the number of new car models on the road is constantly increasing, causing more automotive pollution today than ever before.

e automobile went speeding through the red light.
ficer Alvarez then pursued the automobile.
ficer Alvarez halted the automobile approximately one mile down the road.

hich one of the following best presents the information given above?

After speeding through the red light, Officer Alvarez pursued and halted the automobile approximately one mile down the road.
The automobile was pursued and halted by Officer Alvarez, after speeding through a red light, approximately one mile down the road.
Officer Alvarez pursued the automobile which had gone speeding through the red light, and halted it approximately one mile down the road.
After speeding one mile down the road, Officer Alvarez pursued and halted the automobile which went speeding through the red light.
Officer Alvarez was pursuing the automobile when it went through the red light, and he halted it approximately one mile down the road.

ONLY COPY AVAILABLE

PX 18

DIRECTIONS: Each of the following questions is based upon a group of sentences. The sentences are scrambled, but when they are correctly arranged they form a connected, well-organized paragraph.

Read the sentences and then answer the question about what order to arrange them in.

56.

1. Already, an estimated 30% of the world's aluminum is reclaimed and used again.
2. Although there is an abundant supply of aluminum for the near future, the supply is not unlimited.
3. A worthwhile goal is to make this proportion even greater.
4. But this need not be a problem if we capitalize on aluminum's re-usability.
5. Futhermore, aluminum usage has been doubling every ten years.

Of the following arrangements of these sentences, which one would result in the most coherent and best-organized paragraph?

A. 2--1--5--3--4
B. 2--4--1--5--3
C. 2--5--1--4--3
D. 2--5--3--4--1
E. 2--5--4--1--3

57.

1. Force was even often required to obtain tax funds from the people.
2. Prior to this time, the taxpayer had enjoyed little voice in government and, hence, had resisted taxation.
3. After the rise of popular representation in the 17th and 18th centuries, patterns of taxation were radically altered.
4. The taxpayer now became willing to cooperate in supporting a government in which he was represented.
5. But with the spread of suffrage and the extension to the population of control over the expenditure of tax revenues, force was no longer necessary.

Of the following arrangements of these sentences, which one would result in the most coherent and best-organized paragraph?

A. 3--1--5--4--2
B. 3--2--1--5--4
C. 3--2--4--1--5
D. 3--2--5--1--4
E. 3--4--1--5--2

PX 18

Nutritionists agree that these four food groups provide all the necessary nutrients the body [illegible] health.

There may be special reasons for a physician to recommend to a patient that he use special dietary food.

By selecting foods from the normal well-balanced diet program, the dieter can eat with the rest of the family.

But, in most cases, the best approach to dieting is to select foods from the four basic food groups.

In this way he does not attract special attention to his eating patterns.

the following arrangements of these sentences, which one would result in the most coherent and best-organized agraph?

2--4--1--3--5
2--4--3--1--5
2--5--4--1--3
2--5--4--3--1
3--5--1--2--4

In outfitting a patrol car, there are two conflicting areas to be considered: efficiency and practicality.

How much ideal outfitting can the budget take?

The outfitting of the patrol car involves one of the most important series of "equipment" decisions a police administrator has to make.

How can the patrol car best help the policeman to do his work?

These are essential matters to be taken into account whenever equipment is being decided upon for a new fleet of patrol vehicles.

the following arrangements of these sentences, which one would result in the most coherent and best-organized agraph?

1--2--4--5--3
1--5--4--2--3
3--1--4--2--5
3--1--5--4--2
3--4--2--1--5

In ancient Rome, pedestrians were so pushed around by objects being carted about that at one point all wheeled traffic was banned from the heart of the city during daylight.

People who say that cities are dying point to the critical urban traffic problems that exist almost everywhere as proof that the city is no longer viable.

Certainly the cities of today will come up with some solution to today's problems.

At the beginning of the century, our big cities were choked with horses, buses, and trains, so subways or elevated lines were built to ease congestion.

But cities have ALWAYS had traffic problems, and they have always dealt with them.

the following arrangements of these sentences, which one would result in the most coherent and best-organized agraph?

1--4--3--2--5
2--5--1--4--3
2--5--3--1--4
2--5--4--1--3
3--2--5--1--4

PX 18

THIS IS THE END OF THIS TEST BOOKLET.

Refer to your "Monitors' and Candidates' Instructions" to see what questions, if any, you are to answer next

PX 18

CO-29

1. Suppose it comes to your attention that a new officer under your supervision does not give prompt consideration to all complaints and requests of inmates regarding commissary buys. Of the following, the best action for you as a supervisor to take is to

A. warn the officer and give closer supervision as something serious might result from this method of work
B. explain to the officer that action on complaints must be differentiated from action on requests
C. discuss with the officer the harmful effect such action can have on inmate morale
D. order the officer to comply with all inmate complaints and requests promptly

2. A Correction Officer has been complaining bitterly to fellow officers that another Correction Officer has received a desirable assignment through his influence. You as the immediate supervisor, have heard of this allegation and know that it is untrue. In this situation, you should best

A. ask the complaining officer for proof of the charge in the presence of other officers
B. tell the complaining officer to bid for a more desirable assignment if he wants one
C. ignore the matter since it is not the supervisor's job to interfere in disagreements between officers
D. inform the complaining officer privately of the truth regarding the assignment

3. You are a supervisor at a correctional facility which has the policy that a supervisor must approve all requests to lock up an inmate. One of your officers comes to you and says, "I've got to lock up this guy Phillips. I can't tolerate him another minute. He's surly and disrespectful. He's a militant and he's always telling other inmates that I'm prejudiced against minority group members."

Your best immediate course of action would be to

A. lock the inmate up after explaining to him that you will launch an immediate investigation to ascertain the facts of the matter
B. call for a separate interview with the inmate and attempt to obtain information about the situation as possible
C. grant permission to have the inmate keep locked
D. refuse permission to have the inmate keep locked on the grounds that the details are fuzzy and you are not sure whether the inmate has a bad attitude or whether he violated a rule

4. You are second in command on the 4:00 P.M. to midnight shift at your facility. At 4:30 your supervisor tells you there is a minor disturbance taking place in special housing unit D. He assigns you to the front gate and tells you not to let in any visitors. At 5:00 P.M. an influential State Legislator who has in the past been somewhat critical of the Department appears at the front gate and requests permission to enter. Your best initial course of action is to

A. Let him in and assign an officer to escort him on a tour of the institution. Tell the officer not to take him near the area where the disturbance is taking place.
B. Call the Superintendent and ask him what course of action he would like you to take after explaining all the facts to him.
C. Let him enter the facility and request that he stay in a secure area of the administration building until your immediate supervisor is available. Explain briefly what is happening so he will understand the nature of your request.
D. Refuse him entrance, explaining to him that there is a minor disturbance taking place and visitors are not allowed to enter at this time. Ask him to come back during business hours the next day when the Superintendent will be available to talk to him.

5. Assume you are a supervisor at a state correctional facility. A prominent newspaper reporter calls you at your home and requests to have an interview with you about your personal views concerning the direction of the department on rehabilitation. The reporter states he would like to interview you at your home, with your permission. You personally do not agree with the direction the department is taking. Of the following the best course of action for you to take is to

A. tell the reporter that you must obtain permission from the Department before granting the interview
B. refuse permission for the interview on the grounds that it would violate departmental rules
C. tell the reporter that the best person to interview concerning the subject would be your Superintendent
D. discuss your views with the reporter over the phone at this time

PX19

6. One of your older, experienced correction officers has recently been reassigned from the key room to a post in the facility that involves much more contact with inmates. You notice he is quite timid and fearful in his approach to inmates. Which one of the following is the most proper action for you to take?

A. Pay little attention to the problem; he will no doubt be more like himself in a few days.
B. Inform the superintendent that this officer is not performing his duties properly.
C. Tell him he should start acting more aggressive in front of the inmates.
D. Call him in to talk about his feelings regarding the new assignment.

7. A correction officer and you, a supervisor, are in charge of transporting two inmates from one correctional facility to another. While enroute, one inmate complains of severe chest pains and appears to have difficulty in breathing. Of the following, which one would be the best course of action for you to take?

A. Stop and try to administer first aid to the inmate.
B. Try to make the inmate comfortable and continue on to your original destination.
C. Stop at the first available telephone and call for assistance from the local law enforcement agency.
D. Proceed quickly to the nearest correctional facility.

8. Inmate Jones has just returned to your gallery from the visiting room after a visit with his wife. He is acting very upset. In this situation, the best action for you to take would be to

A. observe Jones closely so he does not attempt to escape or disturb others
B. have Jones locked in his cell so he can be alone
C. request that the superintendent refuse future visits because they upset Jones
D. talk to Jones and tactfully try to determine what the problem is

9. Suppose you are a supervisor and you overhear some correction officers complaining about you and criticizing your work. Which one of the following is the best action for you to take?

A. Try to get these officers transferred to another work area.
B. Try to evaluate the criticism to see if it has any merit.
C. Accept the criticism as true and try to change your actions accordingly.
D. Ignore the criticism; most employees complain about their superiors.

10. While walking by the facility's tailor shop, you notice one of your correction officers handing a couple of keys over to an inmate and asking him to get a pair of shears out of the locked tool cabinet. Of the following, you should best

A. ignore the incident; it is normal in such a shop
B. take the officer aside and suggest that in the future he should not let inmates use the keys
C. confiscate the keys from the inmate before he reaches the cabinet
D. keep an eye on the inmate to make sure he doesn't take advantage of the situation

11. A new officer, Mr. Jones, is bringing his group of inmates into the Mess Hall. Inmate Williams laughingly pushes another inmate out of line. Officer Jones tells inmate Williams to stop pushing and he does so, muttering under his breath something which Officer Jones cannot hear. The other inmates apparently heard the remark because a number of them laughed and glanced at Officer Jones. What action should Officer Jones best take?

A. Inform inmate Williams that there will be an infraction report placed in his file.
B. Ignore the incident.
C. Take inmate Williams back to his cell and place him under disciplinary "keep lock."
D. Ask inmate Williams to repeat what he had said.

PX19

12. You, as a supervisor, have assigned one correction officer to a post normally covered by two correction officers. You have also explained to the officer the procedure he is to follow in order to handle this assignment. As he proceeds to his post the officer states several objections to the procedure you have given him.

The best thing for you to tell the officer is that

A. you are merely carrying out the orders of your own superior
B. the procedure you have outlined has been used successfully for many years
C. in a semi-military organization orders must be carried out or discipline will be impaired
D. you will evaluate his objections to the procedure you have outlined

13. An officer under your supervision often refers to you for solution routine problems that arise on his post which he should be able to take care of himself.

Of the following, it would be most desirable for you as a supervisor to

A. ask a more experienced officer to assist this officer whenever he has a problem
B. show this officer how to handle these routine matters himself and encourage him to do so in the future
C. tell this officer to stand on his own two feet and assume his fair share of responsibility
D. temporarily assign this officer to another post with less responsibility until he develops the capacity to handle his job properly

14. A Correction Officer under your supervision regularly submits considerably more disciplinary reports against inmates than other officers with similar assignments.

Of the following, the most desirable action for you, as a supervisor, to take would be to

A. reprimand this officer for his poor control over the inmates
B. take no special action since this officer may have charge of a particularly unruly group of inmates
C. discuss with the officer the reasons why he finds such reports necessary
D. direct this officer to be fairer toward the inmates

15. An inmate requests permission from a Correction Officer to go to the facility hospital. This inmate has made similar requests in the past without cause and appears to have nothing the matter with him now.

The most proper action for the officer to take would be to

A. grant the request for sick call without question
B. ask the nurse to visit the inmate sometime that day
C. ask a supervisor to evaluate the inmate's request
D. refuse the request for sick call at this time

Px 19

PL. EXH. 20–FINAL RATING KEY (FOR EXAMINATION NO. 34-944)

DATE OF EXAMINATION October 14, 1972 CANDIDATE IDENTIFICATION NO. ———

NEW YORK STATE DEPARTMENT OF CIVIL SERVICE
FINAL
EXAMINATION RATING KEY

EXAMINATION NUMBER(S)	TITLE(S)
34-944	Correction Sergeant (Male)

METHOD OF SCORING:
Deduct ——— From ——— Raw Score
Add 17 To ——— Raw Score

EXAMPLE:
Raw Score (Number Right) = 53
Raw Score × ——— =
+ 17 = 70
– ——— =
Final Score = 70

485-E

1.	C	16.	C	31.	D	46.	C
2.	B	17.	B	32.	A	47.	B
3.	D	18.	A	33.	B	48.	B
4.	D	19.	D	34.	B	49.	E
5.	C	20.	A	35.	D	50.	D
6.	B	21.	D	36.	C	51.	B
7.	B	22.	B	37.	D	52.	E
8.	D	23.	A	38.	E	53.	D
9.	B	24.	C	39.	A	54.	D
10.	A	25.	D	40.	E	55.	C
11.	D	26.	B	41.	A	56.	E
12.	D	27.	C	42.	B	57.	B
13.	A,C,D	28.	C	43.	A	58.	A
14.	C	29.	A	44.	D	59.	C
15.	C	30.	D	45.	B	60.	B

486-E

1.	C
2.	D
3.	B
4.	C
5.	A
6.	D
7.	C
8.	D
9.	B
10.	C,D
11.	B
12.	D
13.	B
14.	C
15.	A

485-E
1-15 Laws, rules, and regulations governing the administration of the Department of Correctional Services
16-30 Modern correctional methods and practices
31-45 Supervision
46-60 Preparing written material

486-E
1-15 Using good judgment in the correction field.

PX 20

A-1372

NOTE: You must return this form to the Monitor before you leave.

PL. EXH. 22-SELECTED DOCUMENTS FROM PERSONAL FILE OF NATHANIEL HAYES

PX-22

STATE OF NEW YORK—DEPARTMENT OF CORRECTION

PERSONAL DATA SHEET FOR EMPLOYEES

1. Name Hayes, Nathaniel (Last, First) 2. Date of Birth 6-14-28 3. Age 32

4. Home Address 317 Monroe St., Bklyn. 16, NY 5. (Check one applying) Single ____

Married X Widower ____ Divorced ____ Separated ____ 6. Number of Children None

7. Name and address of nearest relative Leona O Hayes - wife - 317 Monroe St., Bklyn. NY

8. Height 5 ft. 11½ in. 9. Weight 202 10. Country of Birth USA 11. Color Negro

12. Naturalized ____ Date ____ Court ____

13. Physical Condition-Superior ____ Excellent ____ Good ____ Fair ____ Poor ____

14. I.Q. ____ M.A. ____ Test Used ____

15. Personality (Psychiatrist's Summary)

16. Educational Status

Educational Record	Years	Diploma or Degrees	Dates	Schools Attended		
				Names	Location	Course
Elementary Schools	8	Diploma		PS 157	127 St. Nicholas	Elementary
High School	4	"	1944-47	Food Trades Voc HS	13th St. NYC	Catering
College						
Other	1	"	1957-58	Randell Institute	54th & 8th Ave.	X-Ray Tech.

17. Grade Achievement (By Test) ____ Name of Test ____

Strongest Subjects ____ Weakest Subjects ____

18. Vocational Training Type Catoring School ____ Date ____

Apprenticeship Served (Occupation) ____ Place ____ Dates ____

19. Occupational Experience

Positions Held	Work Done	Dates	Salary	Reasons For Leaving
Corrections Officer	Special Officer	5-16-60 -	$3500 per yr.	Better Job
Security Guard	Bank Guard	1953-1960	$3200 per yr.	" Position
Fry Cook	Fry Cook	1950-1953	$3200 per yr	" "

PX22

1373

...ne copy to be filed in institution in which indiv... A-1373 ...ved, and must accompany him if he is transferred."

Form No. P-2-b

STATE OF NEW YORK — EMPLOYEE'S SERVICE RECORD — Department of Correctio

Name HAYES (Last) Nathaniel (First) (Middle) — Probationary Dates Apr.13,1961 Oct.11,1961

Dates of Attendance at Guard School — Rating

Institution to Which Originally Appointed Sing Sing Prison

Date April 13, 1961 — Salary $4280 — Maintenance none

I. Record of Promotions

Date	Institution	Previous Position	Salary	Maintenance	New Position	Salary	Maintenance

Citations for Meritorious Service, Honors and Awards

Date	Institution	Kind of Citation	Reason for Citation
9/30/66	Sing Sing Prison	New York City incident	Commendation by Dep. Comm. Butler and Warden Denno. (see ltr. dtd. 9/30/66)

Disciplinary Action Taken for Misconduct

Date	Institution	Cause of Action	Penalty
3/1/65	Sing Sing Prison	Vio. Rule 245 of Employees' Rule Book (re:firearms)	Written warning by Actg. Warden Byram(see

PK22

This copy to be filed in institution in which individual is employed, and must accompany him if he is transferred. (over)

A-1373a

SING SING PRISON
OSSINING, N. Y.

October 5, 1966

Mr. Benjamin Thompson, Correction Officer
Mr. Nathaniel Hayes, Correction Officer
Mr. Leonard I. Brown, Correction Officer
Mr. Franklin Leary, Correction Officer

SUBJECT: Arrest of two individuals at 133th Street and Gerard Avenue, Bronx, New York, on September 18, 1966.

Gentlemen:

Supplementing my letter to you of September 30, 1966 to which I attached photostatic copy of letter from Deputy Commissioner Harold M. Butler concerning the above subject matter, I am attaching for your further information photostatic copy of letter dated October 4, 1966 signed by Commissioner Paul D. McGinnis to which is attached photostatic copy of letter dated October 3, 1966 signed by Mr. James J. Dwyer, Commissioner of Public Safety, City of White Plains, and you will note therefrom that the Commissioner wishes to convey to you his personal commendation in addition to that of Commissioner Dwyer.

I felt that the best way to do this was to give you photostatic copies of the letters which I receive, and wish to advise that I have placed copy of same in each of your personnel file folders at this institution.

Very truly yours,

WARDEN

WLD:cm
att.

cc: Mr. R. C. Treanor
Deputy Warden

PX22

7171

STATE OF NEW YORK
DEPARTMENT OF CORRECTION
ALFRED E. SMITH STATE OFFICE BUILDING
ALBANY, N.Y. 12225

PAUL D. McGINNIS
COMMISSIONER

October 4, 1966

Hon. W. L. Denno
Warden
Sing Sing Prison
Ossining, New York

Dear Warden Denno:

I am sure you will be pleased to read the attached letter from Commissioner of Public Safety James J. Dwyer, City of White Plains, regarding the fine assistance rendered by four Correction Officers of your institution to the White Plains Police.

Kindly convey to these four employees my personal commendation in addition to that of Commissioner Dwyer.

Sincerely yours,

Paul D. McGinnis
COMMISSIONER

enc.
htd

DX22

THE CITY OF WHITE PLAINS
DEPARTMENT OF PUBLIC SAFETY
279 HAMILTON AVENUE
WHITE PLAINS, NEW YORK 10601

914 WHITE PLAINS 9-4000

JAMES J. DWYER
COMMISSIONER
JOHN M. DOLCE
DEPUTY COMMISSIONER

October 3, 1966

RECEIVED
OCT 4 1966

Hon. Paul McGinnis
New York State Department of Correction
Albany, New York

Dear Commissioner McGinnis:

The White Plains Police Department called to my attention the excellent cooperation they received from the New York State Correction officers:

Leonard Brown
Ben Thompson
Nathaniel Hayes
Franklin Leary

all of whom, I understand, are employed as correction officers at Sing Sing Prison.

Your officers, while off duty, observed the crime being committed in the Bronx, New York, and notified the 40th Precinct Police, who contacted the White Plains Police Department where these individuals were wanted, and these two criminals were apprehended and are charged with larcenies of automobiles and a burglary, in the City of White Plains, New York.

If we are to combat crime more successfully, it will only come about through better citizen participation and as a fine example of such participation, I offer my commendation to these correction officers and ask that you advise them of our sincere appreciation.

Yours very truly,

James J. Dwyer
Commissioner of Public Safety

JJD:BM

PX 22 A-1376

FORM 1013

STATE OF NEW YORK

DEPARTMENT OF CORRECTIONAL SERVICES

April 10, 1973

Hon. Theodore Schubin
Superintendent
Ossining Correctional Facility
Ossining, New York

RE: Reassignment of Correction Officer Nathaniel Hayes to Ossining Correctional Facility.

Dear Superintendent Schubin:

We wish to express our gratitude to you for your continuing cooperation in loaning personnel to help staff our Training Acade

Mr. Nathaniel Hayes has been a valuable contributor to our training effort both as a Correction Officer Counselor and Provisional Supervisor. An appropriate certificate of appreciation is being awarded to Mr. Hayes.

As the time approaches for the appointment of permanent Sergeants, Mr. Hayes naturally prefers to return to his permanent duty station. Accordingly, his last day of assignment at the Academy will be Wednesday, April 11, 1973, and in order to liquid additional time which he earned for which overtime compensation w not provided, Mr. Hayes will liquidate this time and will report duty at 8:00 a.m. on Monday, April 16, 1973.

In closing, again we repeat our appreciation to you for you cooperation in our training activities.

Very truly yours,

[illegible] E. WALTERS
Director
Bureau of Staff Development

WEW:nc
c.c. - Captain Sperlock
~~Lt.~~ Payton
Mr. Hayes
Personnel

ONLY COPY AVAILABLE

PX 52

A-1577

7

Sept 3, 1969

RECEIVED
WARDENS OFFICE
SING SING PRISON

Dear Sir;

I Know you are aware of the various pro-
grams being introduced at our Institution.
I wonder if you are aware of the importance
and effectiveness of the program that I am
involved in. The program I'm referring to
is Group Counsiling. I happen to be a
Counsilor of one of the two existing Gro

For the first time in all my nine years
of service as a Correction Officer, I really f
as though Im instrumental in helping in
rehabilitation of some Inmates. I tru
feel that the Groups are the best Thin
that have happened to This Department
a long Time. I just hope one day we
be able to involve more Inmates and Of

My primary reason for writing is
invite you to our next Group meeting
realize you are a very busy man Per
you can give us a few minutes of you
valuable Time. Our next Groups meets
Tuesday Sept. 9, 1969 at 1:30 p.m. W
will be privileged to have you present

Yours
Sincerely

PX22 A-1378

State Police
Training

April 6, 1972

Mr. Nathaniel Hayes
Correction Officer
State Police Academy
Albany, New York

Dear Mr. Hayes:

We extend to you our deepest appreciation for your participation in our new 13-Week Training Program for new Correction Officers at the New York State Police Academy.

Your lecture on April 4, 1972, was an invaluable contribution to our program and we are very grateful for your interest, participation and cooperation.

Very truly yours,

WILSON E. WALTERS
Director of Staff Development

BY: _____
William Ciuros Jr.
Lieutenant

WC:nc

e.c. - Mr. Van De Car
Comr. Van Eekeren

PX 22

A-1379

Ossining Corr Fac

9-29 REV (4-71) EMPLOYEE STATUS

STATE OF NEW YORK — DEPARTMENT OF CORRECTIONAL SERVICES

ELIGIBLE LIST NO.	
ELIGIBLE LIST TITLE	
RANK	
CERT. SERIAL NO.	
SOCIAL SECURITY NO.	062-20-2442

Nathaniel Hayes
NAME
Ossining Corr. Facility
ADDRESS
Ossining, N. Y.
CITY OR POST OFFICE, STATE, ZIP

TYPE OF CHANGE

APPOINTMENT	☐	RESIGNATION	☐
PROMOTION	☒	TRANSFER	☐
REASSIGNMENT	Provisional ☐	TERMINATION–TEMPORARY SERVICE	☐
SICK LEAVE WITH HALF PAY	☐	TERMINATION–DISCIPLINARY ACTION	☐
MILITARY LEAVE	☐	TERMINATION–PROBATIONARY	☐
LEAVE WITHOUT PAY	☐	SUSPENSION–DISCIPLINARY ACTION	☐
SICK LEAVE WITHOUT PAY	☐	REINSTATEMENT	☐
CANCELLATION	☐	OTHER	☐

CHANGE	FROM	TO
PAYROLL ITEM NO.	248	133
TITLE/GRADE	Correction Officer/SG-14	Correction Sergeant/SG-17
TYPE OF APPT./RULE NO.	Permanent	Provisional/65
ANNUAL SALARY		$12,400
EFFECTIVE DATE/TIME		August 31, 1972
LOCATION	Ossining Corr. Facility	Ossining Corr. Facility
REPORT TO		
PROBATIONARY PERIOD		

CASH PAYMENT FOR UNLIQUIDATED VACATION: ☐ AUTHORIZED ☐ NOT AUTHORIZED

REMARKS OR EXPLANATIONS ON ABOVE:

COPIES TO: UNIT #1
UNIT #2
PAYROLL/STATISTICS
PERSONNEL/FILE

copies D10 Steward 8-7-72 DOP

Henry P Benhead 9/5/72
DIRECTOR OF PERSONNEL DATE

PX 22 A-1380

80

June 7, 1972

Nathaniel Hayes
Correction Officer
Ossining Correctional Facility
Ossining, New York

Dear Nat:

I am sure that Jay Walters and Bill Ciuros have extended their appreciation to you for the services that you provided during our 13-week training program at the New York State Police Academy. I would like to personally extend my appreciation, and that of Commissioner Oswald, for your outstanding efforts.

Watching the progress of this class during the 3 months they were under your jurisdiction for advice and counsel, it was most gratifying to see young, inexperienced men become as sophisticated, disciplined, and knowledgeable as that class did on June 2, when they graduated.

My most sincere thanks and appreciation for your help and assistance and I look forward to working with you again under similar circumstances.

Very truly yours,

JOHN E. VAN DE CAR
Director of Manpower
and
Employee Relations

JEV:cwb

cc: personal history file

PX 22

A-1381

on Sir,

I have been employed as a Correction Officer at Sing Sing Prison since 1961, and I find That I workin with people with problems and in need of help is mo st gratifying. It has been proven that the clos est employee to the Inmate is the Correction Offic

There has been more communication between th Officer and the Inmate here at Sing Sing. Then eve before. This relationship is due to the wonderfu change in the system of Things and the increase various rehabilitative programs that were introdu by you and your staff

I am now involved in Group Counciling as you kn And I feel I have a fare communication with my cour ees. Mr Contrerra is doing a fine job of guiding an Supervising me along the way. But, I still feel if I am to relate to these men properly then I sho have more Training along these lines.

Even if I was sent to our Academy at Mattewon, some of the courses given There would be beneficial To me. I also Think some of the Officers who have never attended The Ac

my should have the opportunity to do so.

I always felt that a well trained Office
is an effective employee and is an Asset t
his Department. Will you please give This
matter your consideration.

Thank You Sincerely
C.O. Nathaniel Hayes

PX 22 A-1383

Commissioner. R G. Oswald

A: N. Hayes C.O. - O.C.F.

oject: Tobacco Anomymous

This is a program I would like To introduce To The Department. It is similar To Alcohol Anonymous, inasmuch as it is done with groups and is basicly Truth and motivations and also geting The Inmate To Think positively.

If a confined man can control his desire To smoke Then he can use This same Type of Thinking in Society. Basicly This is what The Drug abuser needs.

Cigarettes are detrimental To some people The same as Alcohol is. In both cases we become dependant and need help To Try To break The habit.

I feel This would be healthy and wholesome for The Inmates To be involved in such Groups. I introduced The idea To my Supervisor but was Told That New York State was a big seller of Tobacco and we also sold cigarettes in our institutio

I working with Groups very much.

I have spoken with many Inmates abo
is and find that most Inmates desire a
troup such as this.

How much money could New York State
lose by starting a few groups like this.
Besides how can you measure lives with mon

I feel a Group like this would be ve
succesful in all institutions

Thank You

Sincerely Yours

Nathan Hayes

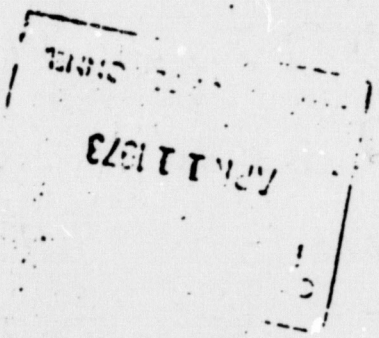
PX 2 2 A-1385

A-2

FORM 1613

STATE OF NEW YORK

DEPARTMENT OF CORRECTIONAL SERVICES



April 10, 1973

Hon. Theodore Schubin
Superintendent
Ossining Correctional Facility
Ossining, New York

RE: Reassignment of Correction Officer Nathaniel Hayes to Ossining Correctional Facility.

Dear Superintendent Schubin:

We wish to express our gratitude to you for your continuing cooperation in loaning personnel to help staff our Training Academy.

Mr. Nathaniel Hayes has been a valuable contributor to our training effort both as Correction Officer Counselor and Provisional Supervisor. An appropriate certificate of appreciation is being awarded to Mr. Hayes.

As the time approaches for the appointment of permanent Sergeants, Mr. Hayes naturally prefers to return to his permanent duty station. Accordingly, his last day of assignment at the Academy will be Wednesday, April 11, 1973, and in order to liquidate additional time which he earned for which overtime compensation was not provided, Mr. Hayes will liquidate this time and will report for duty at 8:00 a.m. on Monday, April 16, 1973.

In closing, again we repeat our appreciation to you for your cooperation in our training activities.

Very truly yours,

WILSON H. WALTERS
Director
Bureau of Staff Development

bjc

c.c. Captain Sperbeck
Lt. Payton
Mr. Hayes
Personnel

A-1388

ONLY COPY AVAILABLE

DEPARTMENT OF CORRECTIONAL SERVICES
RECEIVED
JUN 28 1971
EXECUTIVE DEPUTY COMMISSIONER

Nathaniel Hayes 6/18/71

Dear Sir

I may be a little late with my evaluation report but never The less here it is.

I Think That we have finally realized That The foundation of all smooth functioning Institutions are due The effectiveness of the "Experienced Officer". It is important to find out what They have To say, and these seminars or groupes have been The medium of communication from The Officer or suberdinate directly To Albany and The Supervisors.

I hope That some of The ideas expressed by The Department are soon put to use. I understand we are To have a change of shield's but I hope It's done properly. May I give some suggestions.

As it stands now when a new officer starts work he is issued a hat shield but not a pocket shield, This he purchases himself. If for any reason this Officer leaves The Department, This same pocket shield remains in his possesion. Men have left The Department for various reasons, some for jobs in other Departments and others for private industry. We even have some men That have [illegible] The ish

A-1387

Pxd2

• drivers regulations but our departmental problem remains in their possession.

AT This moment Ther must be hundreds of shields floating illegally throughout the ite. This Department must learn To Take the responsibilities That other Law Enforcement bodies Take.

May I suggest That we first change our shields, similar to the Parole Officer. Since we in The same Dept. Then we should uniform our identification.

Secondly, we should have a change in our Identification Cards. They should be laminated and in color, with a photo of The Officer, his fingerprint and etc.

The pocket shields should be issued by the Department along with the hat shields. A deposit of $3.00 or $4.00 should be collected for each. These shields should remain with The officer during the length of his service. If an officer loses his shield he must then suffer the penalty of being fined or brought up on charges.

It is imperative That these items are instituted as soon as possible.

P.S. Thank You

(88)

IC-22 (15d—10-7-65)

INTER-DEPARTMENTAL COMMUNICATION

September 21, 1966

Nathaniel Hayes

Hon. W.L. Denno
Warden
Institution

Dear Sir:

At approximately 7:45 P.M. on Sunday September 18, 1966, on our way home from work, Mr Nathaniel Hayes, Mr. Leonard Brown, Mr. Franklin Leary and myself Mr. Benjamin Thompson III, noticed three (3) men sitting in a parked car at 138th Street, Gerard Ave., in the Bronx. The reason we noticed these men was that we park our cars there, and use this place as a spot for meeting, as it is a central location. Over a period of time cars belonging to officers have been stolen and stripped in this location. As we pulled up these men got out of the car and started to walk away. We believed that it was one of our cars that they were in. When we stopped them and questioned them they couldn't produce a registration to the car and stated it didn't belong to them. They were just sitting there, they could give no apparent reason for being in that place. As they were walking away I (B. Thompson noticed that the motor was warm and we were able to apprehend two of the men(Thompson and Norbito). We identified ourselves as Correction Officers, and we took them to the 40th Precinct, where they were booked by Det.Martinez, who investigated the incident. Investigation revealed that they were addicts in New York City to buy narcotics. The car (a blue Mercury) and plates were stolen in White Plains. Thompson is on parole from Coxsackie. The N.Y.C. Police Dept. turned them over to The White Plains Police Dept. We were contacted by a Det. Baker of the White Plains Police Dept. who informed us that we would be called to testify on October 3rd, 1966, regarding the arrest. Defendants are charged with Petty Larceny (plates), Grand Larceny (Auto) and Burgulary (Breaking and Entering Building on used car lot to steal keys to auto).

Respectfully,

B. Thompson, C.O.

Benjamin Thompson

N. Hayes, C.O.

Nathaniel Hayes C.O.

F. Leary, C.O.

L. Brown, C.O.

A-1389

PL. EXH. 23-SELECTED DOCUMENTS FROM PERSONAL FILE OF EDWARD L. KIRKLAND

March 16, 1967

Hon. John T. Deegan
Warden

Dear Sir:

On March 14, 1967 at about 3:30 P.M. I was in front of building 1941 3rd Avenue, New York City, and was in conversation with Security Officer Louis Santiago when Mrs. Adato of 1941 3rd Avenue, New York City, approached and stated that two men by force pushed her to the floor of the lobby of 1941 3rd Avenue and took from her her purse and U. S. currency. At around 9:00 P.M. March 13, 1967 she pointed out the two men who had assaulted and robbed her as the two men approaching the area where I was in conversation with Security Officer Louis Santiago. I identified myself to the two men, who were later identified as Cesar Velez and Reginald Petersen. As a Correction Officer I escorted the two men to the Security Office located at 2085 2nd Avenue, New York City, from where I notified the New York City Police Department, 23rd Precinct. Two police officers arrived and took the two men in custody, and I proceeded with them to the 23rd Precinct located between Lexington and Third Avenues on 104th Street, New York City. I reported my complaint to the Desk Officer, Lieutenant Dwyer.

The suspects were then taken by Police transportation to the Identification Bureau, Police Headquarters, 240 Centre Street, New York City, for further processing, and then were taken to court located at 100 Centre Street, New York City. I accompanied the police and the suspects. The District Attorney advised me to make a short affidavit concerning the incident because the witness, Mrs. Adato, failed to appear because she was afraid. Cesar Velez, Docket #A3708, was held in $500 bail and Reginald Petersen, Docket #A3709, was held of $1,000 bail and Reginald Petersen was also wanted on a warrant. The case was held over until March 20, 1967 for Grand Jury action.

At the time of this incident I was in civilian clothes. I had on my person my personal firearm, a .38 Colt Detective Special for which I have on file in New York City and on file at Sing Sing Prison.

I have had extensive training and frequent practice with my revolver. I had no occasion to display or use my firearm in this incident. The suspects offered no resistance at any time during this arrest.

Very truly yours,

Edward L. Kirkland

PX 23

P-29 REV (4-71)

EMPLOYEE STATUS CHANGE

STATE OF NEW YORK — DEPARTMENT OF CORRECTIONAL SERVICES

ELIGIBLE LIST NO.	
ELIGIBLE LIST TITLE	
RANK	
CERT. SERIAL NO.	
SOCIAL SECURITY NO.	079-24-7283

Lewis L. Mi[illegible]
NAME

Ossining Corr. Facility
ADDRESS

Ossining, N.Y.
CITY OR POST OFFICE, STATE, ZIP

TYPE OF CHANGE

APPOINTMENT		RESIGNATION	
PROMOTION	X	TRANSFER	
REASSIGNMENT	Provisional	TERMINATION–TEMPORARY SERVICE	
SICK LEAVE WITH HALF PAY		TERMINATION–DISCIPLINARY ACTION	
MILITARY LEAVE		TERMINATION–PROBATIONARY	
LEAVE WITHOUT PAY		SUSPENSION–DISCIPLINARY ACTION	
SICK LEAVE WITHOUT PAY		REINSTATEMENT	
CANCELLATION		OTHER	

CHANGE	FROM	TO
PAYROLL ITEM NO.	142	134
TITLE GRADE	Correction Officer/CO-1	Correction Sergeant/SG-17
TYPE OF APPT. RULE NO.	Permanent	Provisional/Section 65
ANNUAL SALARY		12,760
EFFECTIVE DATE TIME		August 31, 1972
LOCATION	Ossining Corr. Fac.	Ossining Corr. Facility
REPORT TO		
PROBATIONARY PERIOD		

CASH PAYMENT FOR UNLIQUIDATED VACATION: ☐ AUTHORIZED ☐ NOT AUTHORIZED

REMARKS OR EXPLANATIONS OF MOVE:

COPIES TO: UNIT #1
UNIT #2
PAYROLL STATISTICS
PERSONNEL FILE

PX 2 3

DM

A-1391

DIRECTOR OF PERSONNEL — DATE 9/5/72

STATE OF NEW YORK
DEPARTMENT OF CORRECTION
SING SING PRISON
OSSINING, N. Y., 10562

JOHN T. DEEGAN
WARDEN

March 17, 1967

Hon. Paul D. McGinnis
Commissioner of Correction
Albany, New York

Att: Hon. Harold N. Butler, Deputy Commissioner

Dear Commissioner:

I am attaching, in duplicate, report of an incident in which Correction Officer Edward L. Kirkland took two men into custody in New York City.

He claims that one suspect is wanted in over 20 crimes.

Very truly yours,

WARDEN

JTD:cm
att.

PX 23
A-1392

Supt Schubin

file

file Kirkland, copy to Mr. Quick for info

December 11, 1972

Ms. Margery L. Gross
Director
Alliance for a Safer New York
165 East 56th Street
New York, New York 10022

Dear Ms. Gross:

My letter of December 6, 1972 set up procedures for your group's visit to the Wallkill Correctional Facility sometime late in January.

I was just reminded that Executive Deputy Commissioner Dunbar had informed you I would look into your request to allow Ossining Correctional Facility Correction Officer Edward Kirkland time to attend your group meetings.

While I realize your organization is very active in finding jobs for ex-offenders and am pleased that Correction Officer Kirkland is involved in these efforts, I must deny your request to have him relieved from duty to attend meetings. It is not Departmental policy to excuse employees from duty to regularly attend meetings of outside organizations, even those so positively oriented as yours, and certain other service organizations.

However, I would suggest that Mr. Kirkland contact his supervisors to see if arrangements can be made in facility scheduling that would enable him to be free to attend your meetings. This time would, of necessity, have to be charged to his leave credits. I am sure Superintendent Schubin of the Ossining Facility would make every effort to assure that Mr. Kirkland was available to meet with your group.

Very truly yours,

William C. Quick
Deputy Commissioner

WCQ:mm

cc: Superintendent Theodore Schubin
Correction Officer Edward Kirkland

P/23
A-1333

Ossining Corr. Fac

(4-71)

EMPLOYEE STATUS CHANGE

OF NEW YORK — DEPARTMENT OF CORRECTIONAL SERVICES

ELIGIBLE LIST NO.	
ELIGIBLE LIST TITLE	
RANK	
CERT. SERIAL NO.	
SOCIAL SECURITY NO.	079-24-7288

Edward L. Kirkland
NAME

Ossining Corr. Facility
ADDRESS

Ossining, N.Y.
CITY OR POST OFFICE, STATE, ZIP

TYPE OF CHANGE

APPOINTMENT		RESIGNATION	
PROMOTION Provisional	X	TRANSFER	
REASSIGNMENT		TERMINATION – TEMPORARY SERVICE	
SICK LEAVE WITH HALF PAY		TERMINATION – DISCIPLINARY ACTION	
MILITARY LEAVE		TERMINATION – PROBATIONARY	
LEAVE WITHOUT PAY		SUSPENSION – DISCIPLINARY ACTION	
SICK LEAVE WITHOUT PAY		REINSTATEMENT	
CANCELLATION		OTHER	

CHANGE	FROM	TO
PAYROLL ITEM NO.	161	134
TITLE/GRADE	CorrectionOfficer/SG-14	Correction Sergeant/SG-17
TYPE OF APPT./RULE NO.	Permanent	Provisional/Section 65
ANNUAL SALARY		$12,400
EFFECTIVE DATE/TIME		August 31, 1972
LOCATION	Ossining Corr. Fac.	Ossining Corr. Facility
REPORT TO		
PROBATIONARY PERIOD		

CASH PAYMENT FOR UNLIQUIDATED VACATION: ☐ AUTHORIZED ☐ NOT AUTHORIZED

REMARKS OR EXPLANATIONS ON ABOVE.

COPIES TO: UNIT #1
UNIT #2
PAYROLL/STATISTICS
PERSONNEL/FILE
Copies to

Edward
9-7-72

2423

Henry L. Bouldin 9/5/72
DIRECTOR OF PERSONNEL — DATE

A-1394

DETROIT CIVIL SERVICE COMMISSION
EMPLOYMENT REFERENCE QUESTIONNAIRE

1. Name of Applicant: Kirkland, Edward Louis — Exam No. 1139
2. Birth Date of Applicant: 11-17-30 — S. S. No. 079-21-7265
3. Application for (Title): CORRECTIONAL OFFICER (1-20-70)
4. Claims he worked for you: 1962 to present
5. Dates of Employment in Your Organization:
   From: 7-19-62 To: Present
   Reason for Leaving: Still Employed
6. Type of Work Performed: Correction Officer - Supervision of inmates.

7. Place a check after each phrase in the column which best describes your evaluation of this employee.

	VERY GOOD	SATISFACTORY	NEEDS IMPROVEMENT	UNSATISFACTORY
1. Quantity of work		X		
2. Quality of work		X		
3. Interest in job		X		
4. Cooperation with supervisors		X		
5. Relations with other employees			X	
6. Attendance record		X		
7. Tardiness record		X		
8. Physical condition		X		

8. Would you rehire? Yes ☐ No ☐

9. Do you know of any specific reason why this individual would NOT make a suitable public employee?
   Yes ☐ No ☐

10. Remarks

Employer: J.L. Cassolas, Inc.

Address: 354 Hunter Street, Ossining, New York 10562

(Signature) By

NOTE: All information is confidential

PLEASE RETURN NOT LATER THAN FEB 19 1970

PX 23

A-1395

Form C of D-1-60

STATE OF NEW YORK—DEPARTMENT OF CORRECTION

PERSONAL DATA SHEET FOR EMPLOYEES

1. Name KIRKLAND (Last) Edward (First) Louis (Middle) 2. Date of Birth Nov. 17, 1930 3. Age 3

4. Home Address 345 E 105th St. New York 29, N.Y. 5. (Check one applying) Single ____

Married X Widower ____ Divorced ____ Separated ____ 6. Number of Children 1

7. Name and address of nearest relative Jean O. Kirkland, wife, same address

8. Height 5 ft. 9 in. 9. Weight 157 10. Country of Birth USA 11. Color Negro

12. Naturalized ____ Date ____ Court ____

13. Physical Condition-Superior ____ Excellent ____ Good X Fair ____ Poor ____

14. I.Q. ____ M.A. ____ Test Used ____

15. Personality (Psychiatrist's Summary)

16. Educational Status

Educational Record	Years	Diploma or Degrees	Dates	Schools Attended		
				Names	Location	Course
Elementary Schools			1943	Cooper Jr. High Sch.	120th St. NYC	
High School	4		1947	Murray Hill V.H.S.	37th St. NYC	
College						
Other						

17. Grade Achievement (By Test) ____ Name of Test ____

Strongest Subjects ____ Weakest Subjects ____

18. Vocational Training-Type ____ School ____ Date ____

Apprenticeship Served (Occupation) ____ Place ____ Dates ____

19. Occupational Experience

Positions Held	Work Done	Dates	Salary	Reasons For Leaving
~~Palya State Hosp~~ 681 Clarkson Ave Brklyn	~~Safety Officer~~	1959 to present	$4,600	for present position
N.Y.City Housing 299 Broadway NYC	Housing Guard	1954/1959	$3000	more money

DX-23 A-1396

"This copy to be filed in institution in which individual is employed; to accompany him if he is transferred"

Form No. P-1-B

STATE OF NEW YORK -- DEPARTMENT OF CORRECTION

EMPLOYEE'S SERVICE RECORD

NAME -- KIRKLAND, Edward (LAST / FIRST / MIDDLE)

PROBATIONARY DATES July 19, 1962 Jan. 18, 1963

DATES OF ATTENDANCE AT GUARD SCHOOL _____ RATING _____

INSTITUTION TO WHICH ORIGINALLY APPOINTED Sing Sing Prison

DATE July 19, 1962 SALARY $4760 MAINTENANCE None

1. RECORD OF PROMOTIONS

DATE	INSTITUTION	PREVIOUS POSITION	SALARY	MAINTE-NANCE	POSITION	SALARY	MAINT-NANC

2. CITATIONS FOR MERITORIOUS SERVICE, HONORS AND AWARDS

DATE	INSTITUTION	KIND OF CITATION	REASON FOR CITATION
2/3/63	Sing Sing Prison	Completion of Introductory Course	9/10/62-12/17/62
3-28-63	Sing Sing Prison	Cert. of Achievement	Introductory Course

3. DISCIPLINARY ACTION TAKEN FOR MISCONDUCT

DATE	INSTITUTION	CAUSE OF ACTION	PENALTY

PX 23

"This copy to be kept in institution in which individual is A-1387 and must accompany him if he is transferred."

PL. EXH. 24-VITA, RICHARD S. BARRETT

7/12/73

Vita

BARRETT, RICHARD S. Born, 1924, Married, 3 Children

5 Riverview Place
Hastings-on-Hudson, N.Y. 10706

Educational Background:

1948 - B.S., Administrative Engineering, Cornell University
1951 - M.A., Education, Syracuse University
1956 - Ph.D., Industrial Psychology, Western Reserve University

Work History

1973 to Date	Director, Laboratory of Psychological Studies; Professor and Director of Applied Psychology Division, Stevens Institute of Technology
1972 to 1973	Visiting Professor of Management Science, Stevens Institute of Technology
1971 to Date	Consultant on fair employment, Expert witness in Griggs v. Duke Power. Chance v. Board of Examiners, Bridgeport Guardians v. Bridgeport, Castro v. Beecher, U.S.v. Jacksonville Terminal and others
1971 to 1972	Director, Docet Corporation. Develop educational program.
1971	Director, Project CONCEPT, City University of New York. Coordinate cooperative education programs in New York City
1969 to 1971	Assistant Director for Educational Research, Center for Urban Education, New York. Direct research on education of urban children.
1968 to 1969	Senior Associate, Case and Company, Inc. Consult in personnel and industrial psychology, education, fair employment practices
1965 to 1967	Director, Materials Evaluation, Science Research Associates, Inc. Supervise investigations in education.
1965 to 1967	Research Associate Professor of Psychology, New York University. Principal Investigator "Differential Selection Among Applicants From Different Socio-Economic and Ethnic Backgrounds."
1958 to 1965	Assistant to Associate Professor of Management Engineering and Psychology, Program Director, Research Center for Industrial Behavior, New York University. Supervise research in applied psychology and consult.

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1955 to 1958 — Vice-President of Personnel Research and Development Corp., Cleveland, Ohio. Consulted in industrial psychology.

Earlier Positions — Research Associate, Operations Research Group at Case Institute of Technology. Professional Associate, Richardson, Bellows, Henry & Co., New York. Industrial Engineer, Liberty Products Corp., Farmingdale, New York.

Professional Societies:

American Psychological Association

Eastern Psychological Association

American Educational Research Association

New York State Psychological Association

Metropolitan New York Association for Applied Psychology

Honorary Societies:

Phi Delta Kappa

Alpha Pi Mu

Certification:

Certified Psychologist, New York State

Diploma:

Diplomate in Industrial Psychology, American Board of Professional Psychology

Community Activities:

Trustee, Board of Education, Dobbs Ferry, 1962 - 1965

Selected Publications:

with Taylor, E.K., Parker, J.W., and Martins, L. Rating Scale Content I. Scale Information and Supervisory Ratings. Personnel Psychology, 1958, 11, pp. 333-346.

with Taylor, E.K., Parker, J.W., and Martins, L. Rating Scale Content II. Personnel Psychology, 1958, 11, pp. 519-534.

with Parker, J.W., Taylor, E.K., and Martins, L. Rating Scale Content III. Relationship Between Supervisory-and Self-Ratings. Personnel Psychology, 1959, 12, pp. 49-64.

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Selected Publications: (Cont'd.)

Survey of Human Engineering, Machine Design, January 24, 1957.

The Agreement Scale: A Preliminary Report, Personnel Psychology, 1961, 14, pp. 151-165.

with Goldberg, M., and Dawson, R.I., Comparison of Programmed and Conventional Instruction Methods. Journal of Applied Psychology, 1965, 48, pp. 110-114.

with Feinberg, M.R., Balinsky, B., Garber, R., Ruch, F., and Steckel, L. Outside Consultants to Industry: Strengths, Problems, and Pitfalls (A Symposium). Comments on the Symposium. Personnel Psychology, 1964, 2, pp. 128-133,

with Heinneman, R.F.D. Human Engineering Considerations in the Evaluation of the Instructor's Console of OFT's. Report to Special Devices Center, 1953.

with Katzell, R.A., and Parker, T.C. Job Satisfaction, Job Performance and Situational Characteristics. Journal of Applied Psychology, 1961, 45, pp. 65-72.

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Problems de selection. Synopsis, March 1965, pp. 3-16.

Reviews in Buros, O.K. Sixth Mental Measurements Yearbook. Highland Park, Gryphon Press.

The Influence of Supervisor's Requirements on Ratings. Personnel Psychology, 1966 Winter, pp. 375-387.

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Selected Publications: (Cont'd.)

Gray Areas in Black and White Testing, Harvard Business Review, January-February, 1968, pp. 92-95.

with Kirkpatrick, J.J., Ewen, R.B., and Katzell, R.A. Testing and Fair Employment. New York, New York University Press, 1968.

The Computer Mentality, Phi Delta Kappan. April, 1968, pp. 431-435.

with Heller, Barbara R. Expand and Improve: A Critical Review of the First Three Years of ESEA Title I in New York City, New York, Center for Urban Education, 1970.

The Expert Witness: Discrimination in Employment, Professional Psychology 2. 1971, pp. 366-372.

View from the Under Side, The Industrial Psychologist (In Press)

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Plaintiff's Exhibit 25—List of employment discrimination cases in which Dr. Barrett has testified

RICHARD S. BARRETT

Testimony, depositions, and affidavits in fair employment practices cases
(Mar 1973)

Griggs v. Duke Power Company, 291 F. Supp. 243 (M.D. N.C. 1968), rev'd 430 F.2d 1225, rev'd, 401 U.S. 424, (1971)

Colbert v. H-K Corporation, 295 F. Supp. 1091 (N.D. Ga. 1968, judgment on merits - 63 L.C. ¶9514 (N.D. Ga. 1970), 444 F.2d 1382 (5th Cir. 1971) reconsidered 4EPD ¶7779 (D.C. Ga. 1971) aff'd ___F.2d___(5th Cir. 1972)

Hart v. Buckeye Industries, Inc., 46 F.R.D. 61, 59 LC ¶9181 (S.D. Geo. 1968), under subm. in the District Court.

U.S. v. Frazer, judgment on merits 63 L.C. ¶9502 (M.D. Ala. 1970), 2 FEP cases 847

U.S. v. H.K. Porter, 296 F. Supp. 40 (M.D. Ala. 1968), appeal pending (5th Cir. No. 27703)

U.S. v. Jacksonville Terminal, 316 F. Supp. 567 (M.D. Fla. 1970), rev'd in part, 451 F.2d 418 (5th Cir. 1971), cert. denied

Chance v. Board of Examiners, 330 F. Supp. 203 (S.D. N.Y. 1971), aff'd 4 E.P.D. 7756, ___F.2d___ (2d Cir. 1972).

Davis v. Washington, D. C. Dist. Ct. Civil No. 1089-70)

Allen v. City of Mobile, 331 F. Supp. 1134 (S.D. Ala. 1971), aff'd ~~on appeal~~, No. 72-1009, 5th Cir.

Castro v. Beecher, 334 F. Supp. 930 (D. Mass. 1971), rev'd in part, ___F. 2d____(1st Cir. 1971)

Douglas v. Hampton, ___F.Supp.___(Feb. 17, 1972, D.D.C.) (Civil No. 313-71)

Moody v. Albermarle Paper Co., 271 F. Supp. 27 (E.D. N.C. 1971), rev'd 474 F.2d 134 ~~1963) Appeal pending~~ (4th Cir. ~~No. 72-1267)~~ 1973).

Griggs v. Wilson Sinclair, (Iowa Civil Rights Commission)

Pettway v. American Cast Iron Pipe Company, ~~PS 62 LC 9388, 4 EPD ¶ 2 FEP cases 437 (N.D. Ala. 1970)~~ (N.D. Ala. 1972), appeal pending 5th Cir. No. 72-

N.A.A.C.P. v. Allen, 340 F. Supp. ___, 4EPD ¶7669 (M.D. Ala. ~~No. 3561-N~~, Feb. 10, 1972)

Rios v. Enterprise Assn Steamfitters Local 638, 71 Civ. 847 (S.D. N.Y. filed Feb. 26, 1971), preliminary injunction granted, 326 F.Supp. 198 (S.D. N.Y., 1971)

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Duhon v. Goodyear Tire, [illegible]

Pennsylvania v. O'Neill, [illegible]

Stevenson v. International Paper Company, 5 EPD ¶ (S.D. Ala. 1972), on appeal 5th Cir. No. 73-1758.

Holliman v. Price

Bridgeport Guardians v. Bridgeport Civil Service Commission,

[illegible] v. Cleveland, 5 EPD ¶ (N.D. Ohio 197)

[illegible], 5 EPD ¶ (D. Md. 1973)

[illegible]

[illegible]

[illegible] Cleveland

[illegible]

[illegible] Co.

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Consultation on cases

Barnaba v. Rohm-Haas, C.A. No. 68-H-257 (S.D. Texas, filed March 22, 1968)

Schrichte v. Eastern Airlines, FS, 63 LC ¶9519 2 FEP cases 950 (N.D. Ga. 1970)

Allen Bradley, CCH Emp Prac. Transfer Binder ¶8072 (8/8/1969) (OFCC Docket #101-68)

U.S v. Metal Lathers Union, Local 46 - 3 FEP Cases 457 (S.D. N.Y. 1971)

Harding, (N.Y. FEPC hearing) (1969)

Williams v. Diamond Shamrock Chemcial Company, U.S. Dist. Crt. for S. District of Texas Houston Div., C.A. No. 70-H-70, filed Jan. 29, 1970.

Sims v.Sheet Metal Workers Local 65, No. C-71-100 (N.D. Ohio filed Jan. 28, 1971)

New York City Commission on Human Rights
West Point-Pepperell
Port Ivory Plant, Procter and Gamble

[illegible]

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Consolidation Coal Company, et al.

v. Civil Action No. [illegible]

International Association of Machinists and Aerospace Workers, et al.

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Standards for Educational and Psychological Tests and Manuals

Prepared by a joint committee of the
American Psychological Association
American Educational Research Association
National Council on Measurement in Education

Cochairmen: JOHN W. FRENCH and WILLIAM B. MICHAEL

Published by the
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Plaintiff's Exhibit 26—Standards for Education and Psychological Tests and Manuals (APA Standards)

PX 26

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FOREWORD

Standards for Educational and Psychological Tests and Manuals has been approved by the governing bodies of the American Psychological Association (APA), the American Educational Research Association (AERA), and the National Council on Measurement in Education (NCME). The current statement constitutes a revision of two documents: (*a*) *Technical Recommendations for Psychological Tests and Diagnostic Techniques* which was prepared by a committee of the APA and published in March 1954 by this organization, and (*b*) *Technical Recommendations for Achievement Tests* which was put together by two committees of the AERA and the National Council on Measurements Used in Education (now known as the National Council on Measurement in Education—NCME) and issued under a January 1955, copyright by the National Education Association. An APA committee and a combined AERA-NCME committee were consolidated in late 1963 into one truly joint APA-AERA-NCME committee of eight members that worked as one body in the formulation of the present technical standards.

In the main, the same format and style of presentation have been employed in the new document as in the two earlier reports. Additional details underlying the points of view and positions taken by the joint committee in the preparation of the new version of test standards may be found in the first section titled "Development and Scope of the Standards."

Many of the statements presented in this report reflect substantial revisions of the original statements in the two earlier documents. These revisions have been based on written comments of measurement specialists including test publishers who were invited to submit criticisms on both oral and written comments communicated by participants at several open meetings held at the annual conventions of the three cooperating professional organizations, and on the collaborative efforts of the committee members who participated in numerous formal and informal working sessions.

During the period of preparation which lasted over 5 years, the membership of the APA Committee on Test Standards changed from time to time. Grateful acknowledgment is made to the former members of several APA committees on test standards who made valuable suggestions regarding modifications in the 1954 APA document. In particular, appreciation is expressed to Jane Loevinger, Warren Norman, John T. Cowles, and Edward E. Cureton, among several others whose significant ideas substantially influenced the thinking of the members of the current joint committee. Credit is due Gordon MacDonald Mather, III for work on the index. Finally, thanks are extended to the membership of each of the three participating professional organizations for their continued interest in and support of the work of the committee members.

John W. French, Cochairman
Committee on Test Standards, APA
William B. Michael, Cochairman
Committee on Test Standards, AERA-NCME
Oscar K. Buros
Herbert S. Conrad
Lee J. Cronbach
Max D. Engelhart
J. Raymond Gerberich
Willard G. Warrington

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DEVELOPMENT AND SCOPE OF THE STANDARDS

This revised statement of technical recommendations, now to be called standards, for psychological and educational tests represents an effort, in purpose and scope, similar to that underlying the preparation of both the *Technical Recommendations for Psychological Tests and Diagnostic Techniques* issued in March 1954 by the American Psychological Association and the *Technical Recommendations for Achievement Tests* prepared through the joint efforts of two committees on test standards of the American Educational Research Association and the National Council on Measurement in Education and published in January 1955. In view of the similarity in the nature of many (but not all) problems in both educational and psychological measurement, the joint committees representing all of these organizations decided that it was advantageous to issue one set of standards to cover both educational and psychological tests. The basic structure and format of the first report have been retained. However, many of the recommendations and standards have been substantially modified; others have been dropped; a few new ones have been added. Despite changes in psychological points of view in the theoretical and technical phases of educational and psychological measurement, the principal subdivisions for classifying types of standards still appeared to be sufficiently intact in current testing practices to be retained.

Psychological and educational tests are used in arriving at decisions which may have great influence on the ultimate welfare of the persons tested, on educational points of view and practices, and on development and utilization of human resources. Test users, therefore, need to apply high standards of professional judgment in selecting and interpreting tests, and test producers are under obligation to produce tests which can be of the greatest possible service. The test producer, in particular, has the task of providing sufficient information about each test so that the users will know what reliance can safely be placed on it.

Professional workers agree that test manuals and associated aids to test users should be made complete, comprehensive, and unambiguous, and for this reason there have always been informal "test standards." Publishers and authors of tests have adopted standards for themselves, and standards have been proposed in textbooks and other publications. Through application of these standards, the best tests have attained a high degree of quality and usefulness.

Until 1954, however, there was no statement representing a consensus concerning what information is most helpful to the test consumer. In the absence of such a guide, it was inevitable that some tests did appear with less adequate supporting information than did others of the same type, and that facts about a test which some users regarded as indispensable had not been reported because they seemed to the test producer to be relatively unimportant or, perhaps, too revealing of a weakness in the test. The first report was the outcome of an attempt to survey the possible types of information that test producers might make available, to indicate roughly the relative importance of each type of information, and to make recommendations regarding test preparation and publication.

This second report brings the first ones up to date and takes account of 12 years of progress and of the helpful criticisms of many test publishers and users. Questionnaires and letters of inquiry were sent to professional and research workers in the area of educational and psychological measurement, and several open committee meetings and invitational conferences were held. The current report contains

many of the suggestions made by scores of interested people—test authors, test publishers, research workers, college teachers of measurement, and public school personnel including counselors, administrators, curriculum coordinators, and teachers. The particular biases of the committee members are obviously present, although a conscientious effort was made to take a position, in use of technical vocabulary and statistical methodology, in harmony with the practices of the majority of research and professional personnel in the field of testing.

In 1966 as well as in 1954, issuing specifications for tests could indeed discourage the development of new types of tests. So many different sorts of tests are needed in present educational and psychological practice that limiting the kind or the specifications would not be sound procedure. Appropriate standardization of tests and manuals, however, need not interfere with innovation. One purpose of the revised recommendations presented here is to assist test producers in bringing out a wide variety of tests that will be suitable for all the different purposes for which tests should be used, and to make those tests as valuable as possible.

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Information Standards as a Guide to Producers and Users of Tests

As in the two previous sets of recommendations *the essential* principle underlying this document is that a test manual should carry information sufficient to enable any qualified user to make sound judgments regarding the usefulness and interpretation of the test. This goal means that certain research is required prior to release of a test for general use by psychologists or school personnel. The results should be reported or summarized in the manual, and the manual should help the reader to interpret these results.

A manual is to be judged not merely by its literal truthfulness, but by the impression it leaves with the reader. If the typical professional user is likely to obtain an inaccurate impression of the test from the manual, the manual is poorly written. Ideally, manuals would be tested in the field by comparing the conclusions of a group of typical readers with the judgment of measurement specialists regarding the test. In the absence of such trials, the standards proposed are intended to apply to the spirit and tone of the manual as well as to its literal statements.

A manual must often communicate information to many different groups. Many tests are used by classroom teachers or psychometrists with very limited training in testing. These users will not follow technical discussion or understand detailed statistical information. At the other extreme of the group of readers, the available information about any test should be sufficiently complete for specialists in the area to judge the technical adequacy of the test. Sometimes the more technical information can be presented in a supplementary handbook, but it is most important that there be made available to the person concerned with the test a sound basis for whatever judgments his duties require.

Although it is not appropriate to call for a particular level of validity and reliability, or otherwise to specify the nature of the test, it *is* appropriate to ask that the manual give the information necessary for the user to decide whether the accuracy, relevance, or standardization of the test makes it suitable for his purposes. *These standards of test description and reporting exist without a statement of minimum statistical specifications.*

The aim of the present standards is partly to make the requirements as to information accompanying published tests explicit and conveniently available. In arriving at those requirements, it has been necessary to judge what is presently the reasonable degree of compromise between pressures of cost and time, on the one hand, and the ideal, on the other. The test producer ordinarily spends large sums of money in developing and standardizing a test. Insofar as these recommendations indicate the kind of information that would be most valuable to the people who use tests, test authors and publishers can allocate their funds to gathering and reporting those data. The completion of predictive validity studies related to job criteria, for example, is essential before a vocational interest inventory can be used practically, but they are only a desirable addition for a values inventory and irrelevant for an inventory designed to diagnose mental disorders. These standards, therefore, represent an attempt to state what type of studies should be completed before a test is ready for release to the profession for operational use. They are already reached by many of the better tests.

Tests to Which the Standards Apply

These recommended standards cover not only tests as narrowly defined, but also most *published* devices for diagnosis, prognosis, and evaluation. The standards apply to interest inventories, personality inventories, projective instruments and related clinical techniques, tests of aptitude or ability, and achievement tests—especially those in an educational setting. The same general types of information are needed for all these varieties of tests. General recommendations have been prepared with all these techniques and instruments in mind. Since each type of test presents certain special requirements, additional comments have been made to indicate specific applications of the standards to particular tests or techniques. Many principles of specific importance in measurement of achievement have been cited.

Tests can be arranged according to degree of development. The highest degree of development is needed for tests distributed for use in practical situations where the user is unlikely to carry out validity studies for himself. Such a user must assume that the test does measure what it is presumed to measure on the basis of its title and manual. For instance, if a clerical aptitude measure is used in vocational guidance under the assumption that this will predict success in office jobs, there is very little possibility that the counselor could himself determine the validity of the test for the wide range of office jobs to which his clients might go.

At the other extreme of the continuum are tests in the very beginning stages of their development. At this point, perhaps the investigator is not sure whether his test is measuring any useful variable. Sometimes, because the theory for interpreting the test is undeveloped, the author can restrict use of the test to situations where he himself knows the persons who will use the test, can personally caution them as to its limitations, and can use the research from these trials as a way of improving the test or the information about it.

Between these tests which are so to speak embryonic and the tests which are released for practical application without local validity studies, are tests released for somewhat restricted use. There are many tests which have been examined sufficiently to indicate that they will probably be useful tools for psychologists, but which are released with the expectation that the user will verify suggested clinical interpretations by studying the subsequent behavior of persons in treatment. Examples are certain tests of spatial ability, and some inventories measuring such traits as introversion.

The present standards apply to devices which are distributed for use as a basis for practical judgments rather than solely for research. Most tests which are made available for use in schools, clinics, and industry are of this practical nature. Tests released for operational use should be prepared with the greatest care. They should be released to the general user only after their developer has gathered information which will permit the users to know for what purpose the test can be

tested. Many statements regarding recommended information apply well-especial tests to tests distributed to users who have only that information which is provided in the test manual and other accessories. In the preparation of the standards, no attention was paid to tests which are privately distributed and circulated only to specially trained users. The standards also do not apply to tests presented in journal articles, unless the articles are intended to fulfill the functions of a manual.

A brief discussion of problems of projective techniques is needed here because of the opinion occasionally voiced that these devices are so unlike other testing procedures that they cannot be judged according to the same standards. Many users of projective devices aim at idiographic analysis of an individual. Since this kind of analytical thinking places heavy reliance on the creative, artistic activity of the clinician, not all of this process can be covered in test standards. That is, the recommendations herein presented are necessarily of a psychometric nature and should not be interpreted as necessarily applying to all users of projective techniques. Nevertheless, proposals for arriving at such unique, idiographic interpretations are almost always partially based upon some nomothetic premises, for example, that a Rorschach determinant tends to correlate with a specified internal factor. There is no justification for failing to apply the usual standards in connection with premises of this kind. Therefore, although these devices present unusual problems, the user of projective techniques requires much of the same information that is needed by users of other tests.

Even though the data from projective tests are more often qualitative than quantitative, these devices should be accompanied by appropriate evidence on validity, reliability, and standards of scoring and interpretation. A projective test author need not identify his test's validity by correlating it with any simple criterion. But if he goes so far as to make any generalization about what "most people see" or what "schizophrenics tend to do," he is making an independent statistical claim and should be held to the usual rules for supporting it. Obviously, when quantitative information is asked for in the standards, it is expected to apply where a quantitative kind of claim has been made. If a projective test makes no such claim, a quantitative standard would not be meaningful for it.

On the other hand, clinicians sometimes forget that the words "more," "usual," "typical," and the like are quantity words. Any textual discourse containing such words, or any verbal statement describing a correspondence between test performance and personality structure is making a quantitative claim. The only difference between such a verbal statement and a statistical table is the relative exactness of the latter. For this reason many of the standards apply to aspects of projective instruments for which verbal rather than numerical interpretations are suggested.

Many comments have been made to amplify and illustrate the standards. To avoid the possible charge of showing undue favoritism or negativism toward particular tests or publishers, the Committee decided not to mention the names of specific tests as being examples of good or poor practice (as has been done in the first report). Instead, examples of what was judged to be desirable or undesirable practices were taken from existing test manuals in such a manner as not to identify a particular test or publisher. It is hoped that these examples will help to clarify ways in which the standards apply to practical problems concerning interpretation and use of test data.

Three Levels of Standards

Manuals can never give all the information that might be desirable, because of economic limitations. At the same time, restricting this statement of recommendations solely to essential or indispensable information might tend to discourage reporting of additional information. To avoid curtailment of the presentation of information in test manuals, recommendations are grouped in three levels: ESSENTIAL, VERY DESIRABLE, and DESIRABLE. Each proposed requirement is judged in the light of its importance and the feasibility of attaining it.

The statements listed as ESSENTIAL are intended to represent the consensus of present-day thinking concerning what is normally required for operational use of a test. Any test presents some unique problems, and it is undesirable that standards should bind the producer of a novel test to an inappropriate procedure or form of reporting. The ESSENTIAL standards indicate what information will be needed for most tests in their usual applications. When a test producer fails to satisfy this need, he should do so only as a considered judgment. In any single test, there may be some ESSENTIAL standards which do not apply.

If some type of ESSENTIAL information is not available on a given test, it is important to help the reader recognize that the research on the test is incomplete in this respect. A test manual can satisfy all the ESSENTIAL standards by clear statements of what research has been done and by avoidance of misleading statements. It will not be necessary to perform much additional research to satisfy the standards, but only to discuss the test so that the reader fully understands what is known (and unknown) about it.

The category VERY DESIRABLE is used to draw attention to types of information which contribute greatly to the user's understanding of the test. They have not been listed as ESSENTIAL for various reasons. For example, if it is very difficult to acquire information (e.g., long-term follow-up), such information cannot always be expected to accompany the test. However, the information is still very desirable, since many users wish it, but it is not classed as ESSENTIAL so long as its usefulness is debated.

The category DESIRABLE includes information which would be helpful, but less so than the ESSENTIAL and VERY DESIRABLE information. Test users welcome any information of this type the producer offers.

When a test is widely used, the producer has a greater responsibility to investigating it thoroughly and providing more extensive reports than when the test is limited or restricted in its use. The large sale of such tests makes such research financially possible. Therefore, the producer of a popular test can add more of the VERY DESIRABLE and DESIRABLE information in subsequent editions of the manual. For tests having limited sale, it is unreasonable to expect that as much of these two categories of information will be furnished. In making such facts available, the producer performs a service beyond the level that can reasonably be anticipated for most tests at this time.

The Audience for These Standards

These standards are intended to guide test development and reporting. A great deal of the information to be reported about tests is technical, and therefore the wording of the standards is of necessity technical. They should be meaningful to readers who have training approximately equivalent to a level between the master's degree and the doctorate in education or psychology at a superior institution of higher learning. It would be reasonable to expect that for most readers at least two, and perhaps three courses in measurement have been taken along with at least two semesters of statistical methods.

One audience for the standards is the authors and publishers who are responsible for test development. The standards should also aid the thinking of test users as well as of advanced students working either in psychology or education. It is not expected that the classroom teacher who has not had a course in tests and measurements will himself use this report. The report should, however, be helpful to directors of research, school psycholo-

gists, counselors, supervisors, and administrators who select tests to use for various school purposes.

As an aid to test development, the standards provide a kind of checklist of factors to be considered in designing the standardization and validation of tests. Test authors should refer to these standards in deciding what studies to perform on their tests and how to report them in their manuals. Test publishers can use the standards in planning revision of their present tests. In considering proposed manuals, publishers can suggest to authors the types of information which need to be gathered in order to make the manual as serviceable as it should be. Because of the possibility of misunderstanding or misinterpretation, it would not be appropriate to state that a test manual "satisfies" or "follows" these standards. There would be no objection to a statement that an author has "attempted to take into account or considered" these standards in preparing the manual.

Cautions to Be Exercised in Use of Standards

Almost any test can be useful for some functions and in some situations, but even the best test can have damaging consequences if used inappropriately. Therefore, primary responsibility for improvement of testing rests on the shoulders of test users. These standards should serve to extend the professional training of these users so that they will make better use of the information about tests and the tests themselves. The standards draw attention to recent developments in thinking about tests and test analysis. The report should serve as a reminder regarding features to be considered in choosing tests for a particular program.

It is not inconceivable that many test makers and test publishers could fulfill to a highly adequate degree most of the standards presented and still produce a test that would be virtually worthless from the standpoint of fulfilling its intended or stated objectives. In the instance of educational achievement tests such a risk can be great. Thus one might have access to a carefully standardized achievement test for which both estimates of reliability and comprehensiveness of norms would be judged quite satisfactory; yet the test might fail almost completely to duplicate or to reflect basic instructional objectives or specific outcomes of the teaching-learning process. Too frequently in educational measurement attention is restricted to criterion-related validity. Efforts should also be directed toward both the careful construction of tests around the content and process objectives furnished by a two-way grid and the use of the judgment of curricular specialists concerning what is highly valid in reflecting the desired outcomes of instruction.

Professional thinking about tests is much influenced by test reviews, textbooks on testing, and courses in measurement. These standards may be helpful in improving such aids, for instance, by suggesting features especially significant to examine in a test review. The standards can be a teaching aid in measurement courses. It is important to note that publication of superior information about tests by no means guarantees that tests will be used well. The continual improvement of courses which prepare test users and of leadership in all institutions using tests is a responsibility in which everyone must share.

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THE STANDARDS

A. Dissemination of Information

The test user needs information to help him select the test that is most adequate for a given purpose, and most of that information must come from the test producer. The practices of authors and publishers in furnishing information have varied. With some tests, the user is offered directions for administering and scoring the test, norms of uncertain origin, and virtually nothing more. In contrast, other tests have manuals that furnish extensive information on their development, their validity and reliability, the bases for their norms, the kinds of interpretations that are appropriate, and the uses for which the tests can best be employed.

A1. When a test is published for operational use, it should be accompanied by a manual (or other published and readily available information) that makes every reasonable effort to follow the recommendations in this report. ESSENTIAL

[Comment: Not all the standards in this report will apply to any one particular test. A standard may be ignored if it is irrelevant in the light of the purpose of the test and the claims made for it, but it may not be ignored merely because it is difficult to meet or has not usually been met by similar tests.]

A1.1. If certain information needed to support interpretations suggested in the manual cannot be presented at the time the manual is published, the manual should satisfy the intent of standard A1 by pointing out the absence and importance of this information. ESSENTIAL

A1.2. Where the information is too extensive to be fully reported in the manual the ESSENTIAL information should be summarized and accompanied by references to other existing sources of information, such as technical supplements, articles, or books. VERY DESIRABLE

[Comment: Some well-known tests provide extensive technical manuals, make further research data available through the American Documentation Institute, or include relevant information in technical books which users are encouraged to consult. In other instances, only the ESSENTIAL information is given in the manual sold with the instrument, along with references to other useful sources.

Publications by persons other than the original author of the test frequently fulfill many functions of a manual. If a book about a test is designed to serve as a manual, its author and publisher have the same responsibility in preparing it as do the author and publisher of a test. Each edition of the manual should cite any highly pertinent works on the test by persons other than the original author. (See A2.1 and B3.3.)]

A1.21. When information about the test is provided by the author or publisher in a separate publication, that publication should meet the same standards of accuracy and freedom from misleading impressions as apply to the manual. ESSENTIAL

A1.22. Promotional material for a test should be accurate and complete and should not give the reader false impressions. ESSENTIAL

[Comment: Materials developed to present tests to prospective customers will, of necessity, mix some of the milder characteristics of commercial advertising with those of professional literature, but publishers must avoid using high-pressure advertising techniques. For example, a brochure describing an achievement battery makes the statement that this test "measures dependably what is being taught today." Such a statement may

A2. The test and the manual should be revised at appropriate intervals. While no universal rule can be given, it would appear proper in most circumstances for the publisher to withdraw a test from the market if the manual is 15 or more years old and no revision can be obtained. (See also A 6.7.)

[Comment: Both the technical characteristics and the usefulness of a test change with such things as social conditions, job definitions, educational practices, and the composition of relevant school populations. For example, changes in the objectives of programs of mathematical instruction place more emphasis on problem solving, systems development, and logical analysis and less emphasis on mechanical manipulations and computations reduce the value for many purposes of older tests of mathematical ability. Such drastic changes in curricular objectives necessitate drastically revised tests.

Revisions are also important in the area of personality testing. The manual for one widely used instrument in this area has not been revised for nearly 30 years, even though extensive published research challenges statements made in that manual.]

A2.1. Competent studies of the test following its publication, whether the results are favorable or unfavorable to the test, should be taken into account in revised editions of the manual or its supplementary reports. Pertinent studies by investigators other than the test authors and publishers should be included. VERY DESIRABLE

[Comment: Test reviews that express opinions about the test without supplying new data would be included only at the author's discretion, but they should not be quoted out of context or selected so as to give a misleading impression.]

A2.2. When new information obtained by the test author or others indicates significant facts and reasonably presented in the manual to be incorrect, a revised manual should be issued promptly. ESSENTIAL

A2.3. When the test is revised or a new form is issued, the manual should be suitably revised to take changes in the test into account. ESSENTIAL

[Comment: In a new edition of one well-known test, whose directions and scoring procedure were modified, the norms should have been verified or redetermined. Instead the earlier tables for converting scores to a standard scale were carried over, without change and without justification, to the new edition.]

A2.31. If a short form of the test is prepared by reducing the number of items or organizing a portion of the test into a separate form, new evidence should be obtained and reported for that shorter test. ESSENTIAL

[Comment: It is especially important to report the standard error of measurement of the test in its shorter form. In addition to data on the error of measurement, new evidence for interpretation is helpful for shortened tests, because placing an item in a new context may alter the responses to it.]

A2.32. When a short form is prepared from a test, the manual should present evidence that the items in the short form represent the items in the long form or measure the same characteristics as the long form. VERY DESIRABLE

A2.4. When a test is issued in revised form the new copyright date should be indicated on both the test and the manual. The nature and extent of the revision and the comparability of data between the old test and the revised test should be explicitly stated. Dates should be given for the collection of new data and the establishment of new norms. ESSENTIAL

[Comment: Too often, a test is reissued with a new copyright date and no other apparent change. It is hard to escape the conclusion that such an updating is no more than an attempt to mislead the purchaser.

One new revision of a long-established achievement test battery illustrates a desirable practice by listing all previous editions and then describing in detail the relation of the new revision to the previous editions.]

B. Interpretation

Responsibility for making inferences as to the meaning and legitimate uses of test results in a particular setting rests with the user, but in making such judgments he is dependent upon the available information about the test.

The manual cannot fully prepare the user for interpretation of any test. He will sometimes have to make judgments that have not been substantiated by the published evidence. Thus the vocational counselor cannot expect to have regression equations available for each job about which he makes tentative predictions from test scores. The clinician must bring general data and theory into his interpretation of data from a personality inventory, because research on no instrument is complete. The degree to which the manual can be expected to prepare the user for accurate interpretation and effective use of the test varies with the type of test and the purpose for which it is used.

B1. The test, the manual, record forms, and other accompanying material should assist users to make correct interpretations of the test results. ESSENTIAL

B1.1. Names given to published tests, and to scores within tests, should be chosen to minimize the risk of misinterpretation by test purchasers and subjects. ESSENTIAL

[Comment: While the names given to research tests may be justified on grounds varying with the circumstances, published tests should be given names that are based on the content or process involved in the test, but which carry no unwarranted suggestion as to the characteristics measured. Such names as "culture-fair," "culture-free," "primary mental abilities," "originality" tests, or "creativity" tests are questionable for published tests, since they suggest interpretations going beyond the demonstrable meaning of the test score.

Provided no adverse effect on the subject can possibly occur, names designed to disguise the purpose of a test from a subject may properly be used. In such a case, the manual (and the publisher's catalogue) should explain the reason for choosing this name and should state the actual purpose of the test.]

B1.11. Devices for identifying interests and personality traits through self-report should be entitled "inventories," "questionnaires," or "checklists," rather than "tests." VERY DESIRABLE

[Comment: Typically the instruments considered here are those that can be "faked" in a desirable direction by alert subjects. In referring to such instruments in textual material, however, the word test may be used to simplify the language even where the word test is properly avoided in the title.]

B1.2. The manual should draw the user's attention to data that need to be taken into special account in the interpretation of test scores. VERY DESIRABLE

[Comment: For example, many college entrance test manuals point out that test scores should be only one of several types of information useful in evaluating the potential of a candidate; they should supplement the high school record, recommendations, and other factors.

One personality assessment manual states that "the psychologist should know the following basic facts: the sex and age of the subject, whether his parents are dead or separated, the ages and sexes of his siblings, his vocational and his marital status."]

B1.3. When case studies are used in the manual to illustrate interpretations of test scores, the examples presented should include some relatively complicated cases

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where interpretation is somewhat ambiguous. VERY DESIRABLE

[Comment: Test manuals may err by including excessively simplified reports on complex cases or by choosing stereotyped cases that are exceptionally free from complication. Some publishers have found it advantageous to present detailed case studies in separate publications. Such presentations properly emphasize the possible influence of nontest data on case interpretation.]

B1.4. If any systematic error resulting from testing conditions, regional factors, and other things, is likely to enter the test score, the manual should warn the user about it and discuss its probable size and direction. ESSENTIAL

B1.5. The manual should draw attention to, and warn against, any serious error of interpretation that is known to be frequent. ESSENTIAL

[Comment: Some users of general intelligence tests think of the score as a direct measure of inherent native ability; it is desirable for manuals of such tests to caution against this interpretation. For example, they should warn the user of low scores that are often obtained by culturally deprived persons or persons with a poor background in the language of the test.

Manuals for interest indices should make clear and should urge the counselor to stress the fact that interest does not necessarily imply ability and is only one factor to be considered in choosing among occupations.]

B2. The test manual should state implicitly the purposes and applications for which the test is recommended. ESSENTIAL

[Comment: A clear statement of a test's purposes will help prevent the misapplication of test scores. It will alert the user to the kind and extent of evidence he should expect to find in the manual in support of the claims made for the test by the author and publisher. For example, if an achievement test is recommended as a survey test of what students know, an accurate description of its content is important. If, on the other hand, it is recommended as a diagnostic test or one that predicts performance, data on its relationship with one or more criteria are required. See Section C on validity.]

B2.1. If a test is intended for research use only, and is not distributed for operational use, that fact should be prominently stated in the accompanying materials. ESSENTIAL

[Comment: The term "operational use" refers to making practical decisions about the evaluation or handling of individuals, groups, curricula, therapeutic treatments, and so forth. If the developer of a new device for studying personality, for example, releases his instrument for studies by other investigators before he considers it ready for operational use, it is appropriate to print "distributed for research use only" on the test package or cover of the booklet of directions, and also in any catalogue where it is listed. This serves to caution against premature use of the instrument in guidance or selection.]

B3. The test manual should indicate the qualifications required to administer the test and to interpret it properly. ESSENTIAL

[Comment: The following categorization of tests has been found useful by the American Psychological Association:[1]

Level A. Tests or aids that can adequately be administered, scored, and interpreted with the aid of the manual and a general orientation to the kind of institution or organization in which one is working (e.g., achievement or proficiency tests).

Level B. Tests or aids that require some technical knowledge of test construction and use, and of supporting psychological and educational fields such as statistics, individual differences, psychology of adjustment, personnel psychology, and guidance (e.g., aptitude tests, adjustment inventories applicable to normal populations).

Level C. Tests and aids that require substantial understanding of testing and supporting psychological fields, together with supervised experience in the use of these devices (e.g., projective tests, individual mental tests).

The manual might identify a test according to one of the foregoing levels, or might employ some form of statement more suitable for that test.]

[1] Ethical Standards for the Distribution of Psychological Tests and Diagnostic Aids. *American Psychologist*, 1950, 5, 620-626, or *Ethical Standards of Psychologists*, Washington, D. C.: American Psychological Association, 1953. This statement also includes descriptions of general levels of training which correspond to the three levels of tests.

B3.1. The manual should not imply that the test is "self-interpreting," or that it may be interpreted by a person lacking proper training. ESSENTIAL

[Comment: Even in the case of tests described above as belonging to Level A, use and interpretation should not be left to an untrained individual. As described in *Ethical Standards of Psychologists*, Level A tests should be interpreted by persons having at least the general training of "responsible, educated, nonpsychologists such as school principals and business executives."

The manual should indicate what may be done by untrained persons and what should not be done. One well-known interest test manual, for example, indicates that examinees may perform the mechanics of scoring their own tests but properly stresses that they need the help of a trained teacher or counselor in making interpretations and future plans.]

B3.2. Where a test is recommended for a variety of purposes or types of inference, the manual should indicate the amount of training required for each use. ESSENTIAL

B3.3. The manual should draw the user's attention to the kind of references with which he should become familiar before attempting to interpret the test results. The references might be to books or articles dealing with related psychological theory or with the particular test in question. VERY DESIRABLE

B4. Statements in the manual reporting relationships are by implication quantitative and should be stated as precisely as the data permit. If data to support such statements have not been collected, that fact should be made clear. ESSENTIAL

[Comment: Writers sometimes say, for example, "Spatial ability is required for architectural engineering" or "Bizarre responses may indicate schizophrenic tendencies." Such statements should be made quantitatively adequate. In what proportion of cases giving bizarre responses has schizophrenia been shown to develop? How much has architectural success been found to depend upon spatial ability? Numerical data relating the test scores to definite criteria would provide the needed answers.]

B4.1. When the term "significant" is employed, the manual should make clear whether statistical or practical significance is meant, and what practical significance the statistically significant reliable differences have. ESSENTIAL

B4.2. When the statistical significance of a relationship is reported, the statistical report should be in a form that makes clear the sensitivity or power of the significance test. ESSENTIAL

[Comment: Statistical significance that has no practical significance can often be obtained by using a highly sensitive experiment, for example, by using a very large number of cases. One who uses an insensitive statistical test can falsely conclude that there is no difference. In general, it is more appropriate in reporting test data to state a confidence interval or the likelihood function for the parameter of interest than to report only that the null hypothesis can or cannot be rejected.]

B4.3. The manual should clearly differentiate between an interpretation (*a*) that is applicable only to average tendencies in a group, and (*b*) that is applicable to an individual within the group. ESSENTIAL

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[Comment: Subscores are sufficiently reliable to provide a relatively stable estimate of a group average, but are not reliable enough to provide a usable individual score or to permit comparisons among individuals.]

B4.4. The manual should state clearly what interpretations are intended for each subscore as well as for the total test. ESSENTIAL: (See also C1.2.)

[Comment: Where subscores are obtained only for convenience in scoring the test, and no interpretation is intended, this should be made clear. For some tests, keys are provided for subscores that have possible research use but are not intended to be interpreted; this again should be made clear.]

C. Validity

Validity information indicates the degree to which the test is capable of achieving certain aims. Tests are used for several types of judgment, and for each type of judgment a different type of investigation is required to establish validity. For purposes of describing the uses for three kinds of validity coefficients, we may distinguish three of the rather numerous aims of testing:

1. *The test user wishes to determine how an individual performs at present in a universe of situations that the test situation is claimed to represent.* For example, most achievement tests used in schools measure the student's performance on a sample of questions intended to represent a certain phase of educational achievement or certain educational objectives.

2. *The test user wishes to forecast an individual's future standing or to estimate an individual's present standing on some variable of particular significance that is different from the test.* For example, an academic aptitude test may forecast grades, or a brief adjustment inventory may estimate what the outcome would be of a careful psychological examination.

3. *The test user wishes to infer the degree to which the individual possesses some hypothetical trait or quality (construct) presumed to be reflected in the test performance.* For example, he wants to know whether the individual stands high on some proposed abstract trait such as "intelligence" or "creativity" that cannot be observed directly. This may be done to learn something about the individual, or it may be done to study the test itself, to study its relationship to other tests, or to develop psychological theory.

Different types of tests are often used for each of the different aims, but this is not always the case. There is much overlap in types of tests and in the purposes for which they are used. Thus, a vocabulary test might be used (*a*) simply as a measure of present vocabulary, the universe being all the words in the language, (*b*) as a screening device to discriminate present or potential schizophrenics from organics, or (*c*) as a means of making inferences about "intellectual capacity."

To determine how suitable a test is for each of these uses, it is necessary to gather the appropriate sort of validity information. The kind of information to be gathered depends on the aim or aims of testing rather than on the type of test. The three aspects of validity corresponding to the three aims of testing may be named content validity, criterion-related validity, and construct validity.

Content validity is demonstrated by showing how well the content of the test samples the class situations or subject matter about which conclusions are to be drawn. Content validity is especially important for achievement and proficiency measures and for measures of adjustment or social behavior based on observation in selected situations. The manual should justify the claim that the test content represents the assumed universe of tasks, conditions, or processes. A useful way of looking at this universe of tasks or items is to consider it to comprise a *definition* of the achievement to be measured by the test. In the case of an educational achievement test, the content of the test may be regarded as a definition of (or a sampling from a population of) one or more educational objectives. The aptitudes, skills, and knowledges required of the student for successful test performance must be precisely the types of aptitudes, skills, and knowledges that the school wishes to develop in the students and to evaluate in terms of test scores. Thus evaluating the content validity of a test for a particular purpose is the same as subjectively recognizing the adequacy of a definition. This process is actually quite similar to the subjective evaluation of the criterion itself. Unless, however, the aim of an achievement test is specifically to forecast or substitute for some criterion, its correlation with a criterion is *not* a useful evaluation of the test.

Criterion-related validity is demonstrated by comparing the test scores with one or more external variables considered to provide a direct measure of the characteristic or behavior in question. This comparison may take the form of an expectancy table or, most commonly, a correlation relating the test score to a criterion measure. Predictive uses of tests include long-range forecasts of one or more measures of academic achievement, prediction of vocational success, and prediction of reaction to therapy. For such predictive uses the criterion data are collected concurrently with the test; for example, when one wishes to know whether a testing procedure can take the place of more elaborate procedures for diagnosing personality disorders. A test that is related to one or more concurrent criteria will not necessarily predict status on the same criterion at some later date. Whether the criterion data should be collected concurrently with the testing or at a later time depends on whether the test is recommended for prediction or for assessment of present status.

Construct validity is evaluated by investigating what qualities a test measures, that is, by determining the degree to which certain explanatory concepts or constructs account for performance on the test. To examine contruct validity requires a combination of logical and empirical attack. Essentially, studies of construct validity check on the theory underlying the test. The procedure involves three steps. First, the investigator inquires: From this theory, what hypotheses may we make regarding the behavior of persons with high and low scores? Second, he gathers data to test these hypotheses. Third, in light of the evidence, he makes an inference as to whether the theory is adequate to explain the data collected. If the theory fails to account for the data, he should revise the test interpretation, reformulate the theory, or reject the theory altogether. Fresh evidence would be required to demonstrate construct validity for the revised interpretation.

A simple procedure for investigating what a test measures is to correlate it with other tests. We would expect a valid test of numerical reasoning, for example, to correlate more highly with other numerical tests than with clerical perception tests. Another procedure is experimental. If it is hypothesized, for example, that form perception on a certain projective test indicates probable ability to function well under emotional stress, this inference may be checked by placing individuals in an experimental situation producing emotional stress and observing whether their behavior corresponds to the hypothesis.

Construct validity is ordinarily studied when the tester wishes to increase his understanding of the psychological qualities being measured by the test. A validity coefficient relating test to criterion, unless it is established in the context of some theory, yields no information about *why* the correlation is high or low, or about how one might improve the measurement. Construct validity is relevant when the tester accepts no existing measure as a definitive criterion of the quality with which he is concerned (e.g., in measuring a postulated drive such as need for achievement), or when a test will be used in so many diverse decisions that no single criterion applies (e.g., in identify-

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ing the ability of Peace Corps trainees to adapt to new cultures). Here the traits or qualities underlying test performance are of central importance. It must be remembered, however, that, without a study of criterion-related validity, a test developed for diagnosis or prediction can be regarded only as experimental.

These three aspects of validity are only conceptually independent, and only rarely is just one of them important in a particular situation. A complete study of a test would normally involve information about all types of validity. A first step in the preparation of a predictive *(criterion-related)* instrument may be to consider what *constructs* are likely to provide a basis for selecting or devising an effective test. Sampling from a *content* universe may also be an early step in producing a test whose use for *prediction* is the ultimate concern. Even after satisfactory *prediction* has been established, information regarding *construct* validity may make the test more useful; it may, for example, provide a basis for identifying situations other than the validating situation where the test is appropriate as a predictor. To analyze *construct* validity, all the knowledge regarding validity would be brought to bear.

The three concepts of validity are pertinent to all kinds of tests. It is the intended use of the test rather than its nature that determines what kind of evidence is required.

Intelligence or scholastic aptitude tests most often use criterion-related validity to show how well they are able to predict academic success in school or college, but the nature of the aptitudes measured is often judged from the content of the items, and the place of the aptitude within the array of human abilities is deduced from correlations with other tests.

For achievement tests, content validity is usually of first importance. For example, a testing agency has a group of subject-matter specialists devise and select test items that they judge to cover the topics and mental processes relevant to the field represented by the test. Similarly, a teacher judges whether the final test in his course covers the kinds of situations about which he has been trying to teach his students certain principles or understandings. The teacher also judges content when he uses a published test, but he can appropriately investigate criterion-related validity by correlating this test with tests he has prepared or with other direct measures of his chief instructional objectives. When the same published achievement test is used for admissions testing, it may reasonably be checked against a later criterion of performance. In any theoretical discussion of what is being measured by the achievement test, a consideration of construct validity is required. Whether the score on a science achievement test, for example, reflects reading ability to a significant degree, and whether it measures understanding of scientific method rather than mere recall of facts are both questions about construct validity.

Development of a personality inventory will usually start with the assembly of items covering content the developer considers meaningful. Such inventories are then likely to be interpreted with the aid of theory; any such interpretation calls for evidence of construct validity. In addition, a personality inventory must have criterion-related validity, if, for example, it is to be used in screening military recruits who may be maladjusted.

Interest measures are usually intended to predict vocational or educational criteria, but many of them are also characterized by logical content and constructs. This makes it more likely that they can provide at least a rough prediction for the very many occupations and activities that exist and for which specific evidence of criterion-related validity has not been obtained.

For projective techniques, construct validity is the most important, although criterion-related validity using criteria collected either concurrently with the testing or afterwards may be pertinent if the instruments are to be used in making diagnostic classifications.

C1. The manual should report the validity of the test for each type of inference for which it is recommended. If its validity for some suggested interpretation has not been investigated, that fact should be made clear. ESSENTIAL

C1.1. Statements in the manual about validity should refer to the validity of particular interpretations or of particular types of decision. ESSENTIAL

[Comment: It is incorrect to use the unqualified phrase "the validity of the test." No test is valid for all purposes or in all situations or for all groups of individuals. Any study of test validity is pertinent to only a few of the possible uses of or inferences from the test scores.

If the test is likely to be used incorrectly for certain areas of decision, the manual should include specific warnings. For example, the manual for a writing skills test states that the test apparently is not sufficiently difficult to discriminate among students "at colleges that have selective admissions."]

C1.2. Wherever interpretation of subscores, score differences, or profiles is suggested, the evidence in the manual justifiying such interpretation should be made explicit. ESSENTIAL (Also see B4.4.)

[Comment: One aptitude test manual indicates the difficulties involved in computing the statistical significance of differences between scores in a profile. In an effort to cope with this problem a convenient method of approximating the significance of plotted differences is provided. Cautions and limitations of this type of profile interpretation are suggested.]

C1.21. If the manual for an inventory suggests that the user consider responses to separate items as a basis for personality assessment, it should either present evidence supporting this use or call attention to the absence of such data. The manual should warn the reader that inferences based on responses to single items are subject to extreme error, hence should be used only to direct further inquiry, as, perhaps, in a counseling interview. ESSENTIAL

C2. Item-test correlations should not be presented in the manual as evidence of criterion-related validity, and they should be referred to as item-discrimination indices, not as item-validity coefficients. ESSENTIAL

[Comment: It is, of course, possible to make good use of item-test correlations in reasoning about construct validity. However, such correlations are not, in themselves, indicators of test validity; they are measures of internal consistency.]

Content Validity

C3. If a test performance is to be interpreted as a sample of performance or a definition of performance in some universe of situations, the manual should indicate clearly what universe is represented and how adequate is the sampling. ESSENTIAL

[Comment: Some consideration should be given to the adequacy of sampling from both the appropriate universe of content and the universe of behaviors that the items are intended to represent. For example, the manual of a test of achievement in American history might not only describe the item types used and the coverage of the subject matter, but also should describe to what extent responding to the test items serves as an adequate sample of the examinee's attainment of such skills as critical reading of historical material, including evaluation of evidence, analysis of cause and effect relationships, and whatever other behaviors are considered to be "achievement in American history."]

C3.1. When experts have been asked to judge whether items are an appropriate sample of a universe or are correctly scored, the manual should describe the relevant professional experience and qualifications of the experts and the directions under which they made their judgments. VERY DESIRABLE

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C3.1. When the items are selected by experts, the extent of agreement among independents' judgments should be reported. DESIRABLE

C3.2. In achievement tests of educational outcomes, the manual should report the classification system used for selecting items. DESIRABLE

[Comment: In a test of a field of knowledge, it is desirable to present a table showing the classification of items with respect to mental content and process categories even though these are necessarily judgmental. One such set of categories is described in the *Taxonomy of Educational Objectives*.

One popular achievement test battery includes an item content outline with suggestions as to how the information in the outline might be used in improving instruction.]

C3.21. Where an achievement test has been prepared according to a two-way topic by-process outline, that outline should be presented in the manual, with a list of the items identified with each cell of the outline. VERY DESIRABLE

C3.3. Conclusions in the manual based on logical analysis of content should be carefully distinguished from those based on empirical findings. ESSENTIAL

[Comment: Content validity is established by demonstrating that a test represents a particular area. The user cannot judge, from this alone, how well the test permits inferences about any form of behavior other than the test behavior. For example, a vocational interest inventory containing items that represent vocational areas yields important information about content validity, but does nothing to establish that a student's score predicts his satisfaction in a given type of job.]

C3.4. Any statement in the manual of the relation of items to a course of study (or other source of content) should mention the date when the course of study was prepared. ESSENTIAL

[Comment: In achievement testing, it is frequently the practice to identify significant topics for items by a careful sampling from textbooks. Textbooks and courses of study change, however, and the test that was once an excellent sample becomes out-of-date. Therefore, the manual should report such information as the range and median of copyright dates of the textbooks examined or the date at which the experts judged the items to be representative.

One problem checklist lists problems common to students. The manual for this checklist properly reports the date when the list was assembled. With the passage of time, it will be necessary to determine whether student problems have changed, and if so, to change the test accordingly.]

Criterion-Related Validity

C4. All measures of criteria should be described completely and accurately. The manual should comment on the adequacy of the criterion. Whenever feasible, it should draw attention to significant aspects of performance that the criterion measure does not reflect and to irrelevant factors that are likely to affect it. ESSENTIAL

[Comment: Desirable practices are illustrated in a manual for a test designed to measure abstract intelligence. Several validity studies relating this instrument to criteria are reported, some involving concurrent measures and others involving predictions over periods of time. Limitations of the studies are recognized and it is stated that "no one criterion is uniquely appropriate." The value of local norms is stressed and an example of a local expectancy table is provided.

In the case of interest measures, it is sometimes not made clear whether the criterion indicates satisfaction, success, or merely continuance in the activity under examination. When criterion groups include men in a given occupation and when a comparison of such groups is made to men-in-general, the manual should point out the distinction between

presence in an occupation and success in it or satisfaction with it.]

C4.1. The manual should report the validity of the test for each criterion about which a recommendation is made. If validity for some recommended interpretation has not been tested, that fact should be made clear. ESSENTIAL

C4.2. For any type of prediction the manual should report test-criterion correlations for a variety of institutions or situations. Where validity studies have been confined to a limited range of situations, the manual should remind the reader of the risks involved in generalizing to other types of situations. ESSENTIAL

[Comment: One manual for an aptitude battery presents a great variety of test-criterion correlations. It states that even though the large amount of test-criterion data presented may be confusing to the user, it is nevertheless necessary since "validity is specific" and must always be interpreted for a particular setting in which "the test user himself must evaluate and integrate all of the data available to him."]

C4.3. Since the criterion measure is a sample of possible criterion data, the agreement of that sample with other similar samples that might have been used as measures of the criterion should be reported. If evidence on this question cannot be given, the author should make this clear and should discuss the probable extent of agreement of the sample with other samples as judged from indirect evidence. VERY DESIRABLE

[Comment: When validity is measured by agreement of the test with psychiatric judgment, for example, the degree of agreement among judges should be described. Where a published achievement test is used to obtain the criterion measures, the form-to-form agreement or the reliability reported by the test's author may be used as a basis for evaluating the criterion, due regard being given to the effect of differences between the present sample of persons and the original sample.]

C4.31. If validity coefficients are corrected for errors of measurement *in the criterion*, the computation of the reliability coefficient of the criterion should be explained, and both corrected and uncorrected coefficients should be reported in the manual. ESSENTIAL

[Comment: Coefficients corrected for errors of measurement in the *test* are not estimates of the criterion validity of the existing test and should not be reported. Corrections for attenuation are very much open to misinterpretation, and if misinterpreted give an unjustifiably favorable picture of the validity of the test. The hazard is illustrated in the manual for an adjustment inventory. The author reports correlations between inventory scores and criterion ratings, and also reports the estimated correlations between "true" inventory and criterion scores. He then comments that the augmented correlations "are as high as those often secured between college aptitude tests and college grades." The comparison is improper, since the test author is comparing his augmented coefficients with uncorrected coefficients for ability tests.]

C4.32. For users who are technically oriented, breakdown of test variance into the following sources is appropriate: variance relevant to the criterion, variance explained as form-to-form or trial-to-trial inconsistency, and a reliable-irrelevant remainder. VERY DESIRABLE

[Comment: Such a breakdown is far less subject to misinterpretation than a "corrected" validity coefficient.]

C4.4. The time elapsing between the test administration and the collection of criterion data should be reported in the manual. If the criterion data are collected over a period of time, beginning and ending data should be included. ESSENTIAL

C4.41. If a test is recommended for long-term predictions, but comparisons with concurrent criteria only are pre-

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sented, the manual should emphasize that the validity of predictions is undetermined. ESSENTIAL

C4.5. The criterion score should be determined independently of test scores. The manual should describe any precautions taken to avoid contamination of the criterion or should warn the reader of possible contamination. ESSENTIAL

[Comment: When the criterion depends on a judgment, the manual should state whether the test data were available to the rater or were capable of influencing his judgment in any other way. If the test data could have influenced the criterion rating, the user should be warned that the reported validities are likely to be spuriously high.]

C4.6. When the validity of a test is appraised by its agreement with psychiatric diagnoses, the diagnostic terms or categories should be defined specifically and clearly described. VERY DESIRABLE

[Comment: For example, "paranoid schizophrenia, chronic" is preferable as a category to "schizophrenia." Since the types of patients included in specific diagnostic classifications depend to some extent on the point of view of the classifying psychiatrist, an amplified description of each diagnostic category used in the validity study should be presented.]

C4.61. When the validity of a test is appraised by its agreement with psychiatric judgment, the training, experience, and professional status of the psychologist(s) or psychiatrist(s) should be stated, and the nature and extent of his contacts with the patients should be reported. VERY DESIRABLE

C4.7. When the validity of a test for predicting occupational performance is reported, the manual should describe the duties of the workers as well as give their job titles. VERY DESIRABLE (See Comment C5.2.)

C4.71. Where a wide range of duties is subsumed under a given occupational label, the test user should be warned against assuming that only one pattern of interests or abilities is compatible with the occupation. VERY DESIRABLE

[Comment: The manual for one interest inventory rightly points out that, "for any given interest pattern, or combination of patterns, there are jobs at many levels for individuals with a wide range of abilities."]

C4.72. The amount and kind of any schooling or job training received by the subjects between the time of testing and the time of criterion collection should be stated. VERY DESIRABLE

C4.8. When the validity of a test for predicting grades in a course is reported, the reader of the manual should be given a reasonably clear understanding regarding the types of performance required in the course, the nature of instructional method, and the way in which performance is measured. If the test was administered after the course was started, this fact should be specified. ESSENTIAL

C4.9. Local collection of evidence on criterion-related validity is frequently more useful than published data. In such cases the manual should suggest appropriate emphasis on local validity studies, giving advice on how to conduct the studies and how to set up usable expectancy tables or other means for interpreting the results of the studies. VERY DESIRABLE

[Comment: In cases where criteria differ from one locality to another or from one institution to another, no published validity data can serve all localities. For example, the validity of a certain test for predicting grades at a college with a unique kind of curriculum may be quite different from the published validity of the same test that was based on more conventional colleges.]

Criterion-Related Validity

Sample

C5. The sample employed in a validity study and the conditions under which testing is done should be consistent with the recommendations made in the manual. They should be described sufficiently for the user to judge whether the reported validity is pertinent to his situation. ESSENTIAL

[Comment: In his effort to provide adequate data on the sample and on the testing conditions, the publisher is often faced with a dilemma. Too much detailed information in a manual may reduce its effectiveness; yet insufficient data do not allow for proper judgments by the competent user. One aptitude test publisher meets this problem by reporting only major findings, indicating that "detailed data are available from the American Documentation Institute."]

C5.1. Basic statistics that should be reported in the manual for the validation sample are measures of central tendency and variability. ESSENTIAL

C5.11. If the test scores that are analyzed have a distribution markedly different from the distribution of the group with whom the test is ordinarily to be used, correlations or other measures of discrimination in the group to whom the test is likely to be given should be estimated. In reporting such estimates, the manual should cite the original coefficient, the distribution characteristics used in making the new estimate, and the statistical procedure. ESSENTIAL

[Comment: An estimate larger than the observed validity coefficient may be needed when the observed coefficient is based on a group of employees or students who have been selected in such a way as to restrict the range of scores on the test. On the other hand, an estimate lower than the observed coefficient will be appropriate for the biserial correlation between a scholastic aptitude test and college success, where the persons distinguished are dropouts (lower end of the continuum) and honor students (upper end of the continuum). As the test will normally be applied to the whole group of entering students, the validity coefficient should reflect the somewhat lower predictive power of the test in that group.]

C5.2. The validity sample should be described in the manual in terms of those variables known to be related to the quality tested, such as age, sex, socioeconomic status, and level of education. Any selective factor determining the composition of the sample should be indicated. ESSENTIAL

[Comment: If a validity study uses patients as subjects, the diagnoses of the patients would usually be important to report. The severity of the diagnosed condition should be stated when feasible. For tests used in industry the occupation and experience of the workers should be described. For educational tests the nature of the community and any selection policy of the school should be reported.]

C5.3. If the validity sample is made up of records accumulated haphazardly or voluntarily submitted by test users, this fact should be stated in the manual, and the test user should be warned that the group is not a systematic or random sample of any specifiable population. Probable selective factors and their presumed influence on test variables should be stated. ESSENTIAL

[Comment: While it is entirely appropriate to include in the manual such phrases as "the author and publisher of this test would welcome additional data derived from its use," it is extremely difficult to judge adequately the quality and representativeness of most of the resulting reports.]

C5.4. The validity of a test should be determined on subjects who are at the age or in the same educational or vocational situation as the persons for whom the test is recommended in practice. Any deviation from this requirement should be described in the manual. ESSENTIAL

[Comment: The validity of tests intended for guidance should generally be determined on subjects tested prior to or

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ing the time when they are making educational or vocational choices.

One interest inventory was standardized at first on men currently employed in the occupation in question. The ability of these scales to differentiate between occupational groups did not, in and of itself, warrant using the inventory in the counseling of high school or college students. Better evidence was obtained later by administering the inventory to students, determining the nature of their later employment, and then establishing the relation between preoccupational score and later occupation.

If an interest inventory uses a criterion of enrollment or nonenrollment in a certain occupation, the sample used in its validation should include only the range of mental ability appropriate to the occupational group. For example, college students are not suitable subjects with which to estimate the validity of a scale of interest in manual skills, even though some of them later enter manual occupations.]

C5.41. If an ability test is to be used for educational or occupational selection, its validity should be established using subjects who are actual candidates and who are therefore motivated to perform well. If the subjects used in a validity study did not believe that their test scores would be used in making decisions about them, this fact should be made clear. VERY DESIRABLE

C5.5. If the validity of the test is likely to be different for subsamples that can be identified when the test is given, the manual should report the results for each subsample separately or should report that no differences were found. VERY DESIRABLE

[Comment: It is often useful to perform validity studies separately on samples differing in one or more of the common demographic variables. Since subsamples are likely to differ in range, statistical corrections may be necessary to make the results comparable. In such cases a regression equation may be more informative than a correlation coefficient.]

C5.6. In collecting data for a validity study, the person who administers, scores, or interprets the test should have only that information about the examinees that is ordinarily expected to be available in practical use of the test. If there is any possible contamination associated with prior favorable or unfavorable knowledge about the examinees, the manual should discuss its effect on the outcome of the study. ESSENTIAL

[Comment: Whenever knowledge about the examinee may influence test administration or scoring, as it might in the case of individual intelligence tests or projective techniques, the test administrator should not possess knowledge about the examinees that might bias his interpretation of the examinee's responses. Knowing that an examinee is regarded as maladjusted but able may make the person administering an individual test more prone to explore borderline answers or to encourage the examinee when he encounters difficulty. Data collected under such circumstances do not provide an adequate basis for judging the validity of the test by itself.]

Criterion-Related Validity Analysis

C6. Any statistical analysis of criterion-related validity should be reported in the manual in a form from which the reader can determine what confidence is to be placed in judgments or predictions regarding the individual. ESSENTIAL

C6.1. Statistical procedures that are well known and readily interpreted should be preferred in the manual for reporting validity. Any uncommon statistical techniques should be explained, and references to descriptions of them should be given. ESSENTIAL

[Comment: Publishers need not adhere to the commonly used procedures for reporting validity data, but there should be sufficient standard terminology and procedures to allow for adequate judgment by reasonably competent users. One recently developed ability test manual introduces "circular" profiles, "range" and "stability" scores, and other novel statistical procedures so inadequately explained as to give an aura of the bizarre to the entire manual.]

C6.11. A report in the manual or elsewhere concerning the criterion-related validity of tests should ordinarily include: (*a*) one or more correlation coefficients of a familiar type, (*b*) descriptions of the efficiency with which the test separates criterion groups, (*c*) expectancy tables, or (*d*) charts that graphically illustrate the relationship between test and criterion. ESSENTIAL

[Comment: Reports of differences between group means by themselves give inadequate information regarding validity. If variance is large, classification may be inaccurate even if means differ significantly. A description indicating amount of misclassification or overlapping should be included. The emphasis should be on descriptive statistics for individuals; a significance test alone is insufficient.

In general, since manuals are directed to readers who have limited statistical knowledge, every effort should be made to communicate validity information clearly. For instance, a certain manual reports no criterion-related validity data collected over a period of time; yet the case studies presented suggest a degree of validity totally unsupported by the data in the manual.]

C6.12. If a test is suggested for the differential diagnosis of patients, the manual should include evidence of the test's ability to place individuals in diagnostic groups rather than merely to separate diagnosed abnormal cases from the normal population. ESSENTIAL

[Comment: When a test is recommended for the purpose of assigning patients to discrete categories, such statistics as contingency coefficients, phi coefficients, or discriminant functions should be supplemented by a table of misclassification rates giving, for example, the proportion of patients falsely included in a category or falsely excluded from it. Such proportions should be compared with base rates, i.e., the proportions of correct classifications made possible by a mere knowledge of the sizes of the categories.]

C6.2. An overall validity coefficient should be supplemented with a report regarding the regression slope and intercept and the standard error of estimate at different points along the score range. VERY DESIRABLE

[Comment: The required information could be presented in an expectancy table showing the range of possible criterion values for each of several points on the score range.

For a dichotomous criterion, this objective might be achieved by indicating the proportion of hits, misses, and false inclusions at various cutting scores. One reading readiness test, for instance, reports the percentage of failure in primary reading expected among pupils at each level of test score.]

C6.3. When information other than the test scores is known to have an appreciable degree of criterion-related validity and is ordinarily available to the prospective test user, the manual should report the validity of the other information and the resulting multiple correlation when the new test information is combined with it. ESSENTIAL

[Comment: Whether a test should be used for prediction and classification when other information is readily available depends not on the validity of the test but on its "incremental validity," i.e., what it adds to the soundness of the judgment that would otherwise be made.

For a test recommended as a predictor of school achievement, the manual should report how much the test enhances prediction based on the subjects' previous school records. A test is not likely to improve greatly the prediction of college grades when it is highly correlated with past high school grades. Such a test may

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be used in dealing with pupils coming from scattered high schools, the past records of which are not available or not on a comparable scale, or it may be used to correct statistically the records for different schools to make them comparable.

For a questionnaire intended to predict marital success, delinquency, and similar behavioral variables, the manual should report how much the questionnaire enhances prediction over that provided by base rates developed from demographic variables such as socioeconomic status.]

C6.31. If the validity of a test is demonstrated by comparing groups that differ on the criterion, the manual should report whether and by how much the groups differ on other available variables that are relevant. VERY DESIRABLE

[Comment: Since groups which differ on a criterion may also differ in other respects, the test may be discriminating on a quality other than that intended. Types of mental disorder, for instance, are associated with age, education, and length of time in hospital. Confounding of this sort should be taken into account when appraising the usefulness of the test for diagnosis.]

C6.4. When a scoring key or the selection of items is based on a tryout sample, the manual should report validity coefficients based on one or more separate cross-validation samples, rather than on the tryout sample or on a larger group of which the tryout sample is a part. ESSENTIAL

C6.5. If the manual recommends certain regression weights for combining scores on the test or for combining the test with other variables, the validity of the composite should be based on a cross-validation sample. VERY DESIRABLE

[Comment: Cross-validation is particularly necessary when the number of predictors entering the study (not the final equation) is greater than four or five and when the sample size is less than 200.]

C6.6. Whenever it is proposed that decisions be based on a complex nonlinear combination of scores, it should be shown that this combination has greater validity than some simpler linear combination. VERY DESIRABLE

[Comment: The use of "moderator variables," for example, is to be recommended only where this produces a clear improvement in validity in a cross-validation sample. Also, when it is proposed that some pattern of scores, for example, high standing in scores on both Variables 2 and 5, is an indicator of success, it is necessary to show that the proportion of successful persons in the group so identified is higher than would be expected from the regression of frequency of success on a linear combination of Scores 2 and 5.]

C6.7. To ensure the continued correct interpretation of scores, the validity of the suggested interpretations should be rechecked periodically and the results reported in subsequent editions of the manual. VERY DESIRABLE

[Comment: Job requirements, conditions of work, and the types of person entering an occupation often change materially with the passage of time. Similarly the meanings of clinical categories, the nature of therapeutic treatment, and the objectives in any school course change. So also will the difficulty and psychological meaning of test items. Hence, the reader should be in a position to judge the extent to which scales are obsolete.

Criterion data for the psychologist scale of a much used interest test were gathered in 1927. Subsequent research showed that these psychologists were no longer representative of the field. The current manual reports the date (1948) of the validating studies for the revised key. With the growth of mathematical psychology on the one hand, and of private clinical practice on the other, this scale may, in certain aspects, again be obsolescent.]

C6.71. If the validity of a suggested test interpretation has not been checked within 15 or 20 years, the test should be withdrawn from general sale and distributed, if at all, only to persons who will conduct their own validity studies. DESIRABLE (See A2.)

[Comment: This standard, as worded, is extremely liberal. Removal of tests from the market and repetition of validity studies have not been common practice. The present liberal standard moves only a short way toward the ideal. It is not necessary to repeat every part of the validation; what is needed is a repetition of those studies that are most likely to have been rendered obsolete.]

Construct Validity

C7. If the author proposes to interpret the test as a measure of a theoretical variable (ability, trait, or attitude), the proposed interpretation should be fully stated. The interpretation of the theoretical construct should be distinguished from interpretations arising under other theories. ESSENTIAL

[Comment: For example, if a test is intended to measure the construct of anxiety, the test author should distinguish his formulation of the construct from any other meanings he can think of and should relate his concept to measures of anxiety discussed in the literature.

The description of a construct may be as simple as the identification of "creativity" with "making many original contributions." Even this definition provides some basis for judging whether or not various pieces of empirical evidence support the proposed interpretation. Ordinarily, however, the test author will have a more elaborate conception. He may wish to rule out such originality as derives only from a large and varied store of information. He may propose explicitly to identify the creative person as one who produces numerous ideas, whether of high or low quality. He may propose to distinguish the ability to criticize ideas from the ability to be "creative." He may go on to hypothesize that the person who shows originality in identifying or describing pictures will also have unconventional preferences in food and clothing. All such characterizations or hypotheses are part of the author's concept of "what the test measures" and are needed in designing and in drawing conclusions from empirical investigations of the psychological interpretation of the construct.]

C7.1. The manual should indicate the extent to which the proposed interpretation has been substantiated and should summarize investigations of the hypotheses derived from the theory. ESSENTIAL

C7.11. Each study investigating a theoretical inference regarding the test should be summarized in a way that covers both the operational procedures of the study and the implications of the results for the theory. VERY DESIRABLE

C7.12. The manual should report correlations between the test and other relevant tests for which the interpretation is relatively clear. VERY DESIRABLE

[Comment: It is desirable, for instance, to know the correlation of an "art aptitude" test for college freshmen with measures of general or verbal ability, and also with measures of skill in drawing, if there are satisfactory measures available. The interpretation of test scores would differ, depending on whether these correlations are high or low.]

C7.13. The manual should report the correlations of the test with other available measures of the same attributes that have been generally accepted. VERY DESIRABLE

[Comment: When a test is advanced as a measure of "general adjustment," its correlations with other measures of this characteristic should be reported. The user can infer, from the size of such correlations, whether generalizations established on the older tests can be expected to hold for the new one.

Or similarly, a new interest test that emphasizes the factorial approach to construct validity should nevertheless report

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relationships of the new instrument to relevant scales of some well-established interest tests.

If a great many measures of the attributes are available, it is sufficient for the author to compare his test with only a representative selection of other tests.]

C7.2. The manual should report evidence on the extent to which constructs other than those proposed by the author account for variance in scores on the test. VERY DESIRABLE

[Comment: Although it is unreasonable to require a test author to anticipate or to include every counter interpretation in a test manual, he ought to present sufficient data to rule out the counter-hypotheses that are most likely to account for variance in the test scores.]

C7.21. The manual for any specialized test or inventory used in educational selection and guidance should report its correlation with a well-established measure of verbal and quantitative ability in an appropriately representative population. VERY DESIRABLE

[Comment: Verbal and quantitative ability are specified here, because their importance in educational performance is recognized, and numerous tests for these abilities are already available. To be of use, a new test must do more than simply duplicate the measurement of verbal and quantitative ability.]

C7.22. Whenever a test has been included in factorial studies that indicate the proportion of the test variance attributable to widely known reference factors, such information should be presented in the manual. VERY DESIRABLE

C7.23. For any personality measure, evidence should be presented on the extent to which scores are susceptible to an attempt by the examinee to present a false or unduly favorable picture of himself. VERY DESIRABLE (See C5.41.)

C7.24. If a personality questionnaire calls for "yes-no" or "agree-disagree" responses, the manual should report evidence on the degree to which the scores reflect a set to acquiesce. DESIRABLE

[Comment: Appropriate evidence might be the proportion of the total test variance accounted for by variance in the number of "yes" responses to the test, the correlation of the test scores with one or more independent measures of the acquiescence tendency, or a study comparing the test scores to those on a "reversed" test in which each item is worded in the opposite manner.]

C7.25. If a test given with a time limit is to be interpreted as measuring a hypothetical psychological attribute not specifically related to speed, evidence should be present in the manual concerning the effect of speed on the test scores and on their correlation with other variables. ESSENTIAL

[Comment: The most complete evidence on the effect of speed would be the comparison of one form, using the usual time limit, with another form having unlimited time. The correlation of scores at the end of the usual time with scores obtained with extra time on the same trial is of limited meaning, because the two scores are not independent. Less complete evidence would consist of data on the percentage of examinees who attempted the last item or some item very near the end of the test. This evidence is usually satisfactory if the percentage is high, but if the percentage is below about 90, a more penetrating study is needed to show that individual differences on the test do not reflect speed to any great extent.]

C7.26. Where a low correlation or small difference between groups is advanced as evidence *against* some counter-interpretation, the manual should report the confidence interval for the parameter. The manual should also correct for or discuss any errors of measurement that may have lowered the apparent relationship. DESIRABLE

D. Reliability

Reliability refers to the accuracy (consistency and stability) of measurement by a test. Any direct measurement of such consistency obviously calls for a comparison between at least two measurements. (Whereas "accuracy" is a general expression, the terms "consistency" and "stability" are needed to describe, respectively, form-associated and time-associated reliability.) The two measurements may be obtained by *retesting* an individual with the identical test. Aside from practical limitations, retesting is not a theoretically desirable method of determining a reliability coefficient if, as usual, the items that constitute the test are only one of many sets (actual or hypothetical) that might equally well have been used to measure the particular ability or trait. Thus, there is ordinarily no reason to suppose that *one* set of (say) 50 vocabulary items is especially superior (or inferior) to another comparable (equivalent) set of 50. In this case it appears desirable to determine not only the degree of response variation by the subject from one occasion to the next (as is accomplished by the retest method), but also the extent of sampling fluctuation involved in selecting a given set of 50 items. These two objectives are accomplished most commonly by correlating scores on the original set of 50 items with scores by the same subjects on an independent but similar set of 50 items—an "alternate form" of the original 50. If the effect of content-sampling *alone* is sought (without the effects of response variability by the subject), or if it is not practical to undertake testing on two different occasions, a test of 100 items may be administered. Then the test may be divided into two sets of 50 odd-numbered items and 50 even-numbered items; the correlation between scores on the odd and the even sets is a "split-half" or "odd-even" correlation, from which a reliability (consistency) coefficient for the entire test of 100 items may be estimated by the Spearman-Brown formula (involving certain generally reasonable assumptions). Essentially the same type of estimated reliability coefficient may be obtained from item-analysis data through use of the Kuder-Richardson formulas (which involve various assumptions, some more reasonable and exact than others). It should be noted that despite the possible heterogeneity of content, the odd-even correlation between the sets of items may be quite high if the items are easy and if the test is administered with a short time limit. Such odd-even correlations are in a sense spurious, since they merely reflect the expected correlation between two sets of scores each of which is a measure of rate of work. (See D5.2.)

From the preceding discussion, it is clear that *different methods of determining the reliability coefficient take account of different sources of error*. Thus, from one testing to the other, the retest method is affected not only by response variability of the subjects but also by differences in administration (most likely if different persons administer the test on the two occasions). Reliability coefficients based on the single administration of a test ignore response variability and the particular administrative conditions: their effects on scores simply do not appear as errors of measurement. Hence, "reliability coefficient" is a generic term referring to various types of evidence; each type of evidence suggests a different meaning. It is essential that *the method used to derive any reliability coefficient should be clearly described*.

As a generic term reliability refers to many types of evidence, each of which describes the agreement or consistency to be expected among similar observations. Each type of evidence takes into account certain kinds of errors or inconsistencies and not others. The operation of measurement may be viewed as a sample of behavior; in a typical aptitude or achievement test the person is observed on a particular date as he responds to a particular set of questions or stimuli, and his responses are recorded and scored by a particular tester or system. The occasion

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is a sample from the period of time within which the same general inquiry would be pertinent; some sampling error is involved in selecting any one date of observation. The items that constitute the test are only one of many sets (actual or hypothetical) that might have been used to measure the same ability or trait. The choices of a particular test apparatus, test administrator, observer, or scorer, are also sampling operations. Each such act of sampling has some influence on the test score. It is valuable for the test user to know how much a particular score would be likely to change if any one of these conditions of measurement were altered.

There are various components that may contribute to inconsistency among observations: (*a*) response variation by the subject (due to changes in physiological efficiency, or in such psychological factors as motivation, effort, or mood); these may be especially important in inventories of personality; (*b*) variations in test content or the test situation (in "situational tests" which include interacting persons as part of the situation, this source of variation can be relatively large); (*c*) variations in administration (either through variations in physical factors, such as temperature, noise, or apparatus functioning, or in psychological factors, such as variation in the technique or skill of different test administrators or raters); and (*d*) variations in the process of observation. In addition to these errors of observation, scoring-error variance in test scores reflects variation in the process of scoring responses as well as mistakes in recording, transferring, or reading of scores.

The estimation of clearly labeled components of error variance is the most informative outcome of a reliability study, both for the test developer wishing to improve the reliability of his instrument and for the user desiring to interpret test scores with maximum understanding. The analysis of error variance calls for the use of an appropriate *experimental* design. There are many different multivariate designs that can be used in reliability studies; the choice of design for studying the particular test is to be determined by its intended interpretation and by the practical limitations upon experimentation. In general, where more information can be obtained at little increase in cost, the test developer should obtain and report that information.

Although estimation of clearly labeled components of error variance is the most informative outcome of a reliability study, this approach is not yet prominent in reports on tests. In the more familiar reliability study the investigator obtains two measures and correlates them, or derives a correlation coefficient by applying one of several formulas to part or item scores within a test. Such a correlation is often interpreted as a ratio of "true variance" to "true variance plus error variance." Many different coefficients, each involving its own definition of "true" and "error" variance, may be derived from a multivariate reliability experiment with the presence of controls for such factors as those of content, time, and mode of administration. Hence, any single correlation is subject to considerable misinterpretation unless the investigator makes clear just what sampling errors are considered to be error in the particular coefficient he reports. The correlation between two test forms presented on different days has a different significance from an internal-consistency coefficient, for example, because the latter allocates day-to-day fluctuations in a person's efficiency to the true rather than to the error portion of the score variance.

In the present set of *Standards*, the terminology by which the 1954 *Technical Recommendations* classified coefficients into several types (e.g., coefficient of equivalence) has been discarded. Such a terminological system breaks down as more adequate statistical analyses are applied and methods are more adequately described. Hence it is recommended that test authors work out suitable phrases to convey the meaning of whatever coefficients they report; as an example, the expression, "the stability of measurements by different test forms as determined over a 7-day interval," although lengthy, will be reasonably free from ambiguity.

General Principles

D1. The test manual should report evidence of reliability that permits the reader to judge whether scores are sufficiently dependable for the recommended uses of the test. If any of the necessary evidence has not been collected, the absence of such information should be noted. ESSENTIAL

[Comment: One recently published manual for a mental ability test presents four types of reliability data: test-retest, odd-even, alternate forms, and intercorrelations of parts. It also includes standard error of measurement and confidence bands for deviation IQs.

Another manual states that "the reliabilities reported for . . . are the results of internal analyses based on a single administration of the tests. . . . Correlations between alternate forms and test-retest correlations have not been obtained."]

D1.1. The test manual should furnish, in so far as feasible, a quantitative analysis of the total inconsistency of measurement into its major identifiable components; viz., fluctuations or inconsistency in responses of the subject; inconsistency or heterogeneity within the sample of test content (such as the stimulus items, questions, and situations); inconsistencies in administration of the test; inconsistency among scorers, raters, or units of apparatus; and mechanical errors of scoring. VERY DESIRABLE

[Comment: In general, the desired analysis will not be feasible unless scores are expressed in quantitative, as distinguished from categorical or nonparametric, terms, and unless the design of data collection includes the necessary controls.

With group tests of school achievement, the *principal sources of error* to be evaluated usually include (*a*) inconsistency or heterogeneity within the sample of test content (although, admittedly in an achievement test the content should be just as heterogeneous as the subject matter or the functions that are involved in successful use of knowledge), (*b*) inconsistencies in test administration, and (*c*) inconsistency in responses of the examinee over time; i.e., instability. The collection of data should be designed to permit evaluation of these three factors. In the case of projective tests, fluctuation or inconsistency in the responses of the subject is usually a major source of random error to be evaluated; inconsistency among scorers or raters should also be evaluated.]

D1.2. A measure of reliability or errors of measurement should be reported in the test manual even when a test is recommended solely for empirical prediction of criteria. VERY DESIRABLE

[Comment: Such information adds to the user's understanding of the test, since it permits more intelligent application and interpretation than is possible without such information. For certain judgments, such as the potential effect of lengthening the test, information about reliability is required and should be available to the user.]

D1.3. The standards for reliability should apply to every score, subscore, or combination of scores (such as a sum, difference, or quotient) which is recommended by the test manual (either explicitly or implicitly) for other than merely tentative or pilot use. ESSENTIAL

D1.4. For instruments that yield a profile having a low reliability of differences between scores, the manual should explicitly caution the user against casual interpretation of differences between scores, except as a source of tentative information requiring external verification. ESSENTIAL

D1.5. The manual should state the minimum difference between two scores

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ordinarily required for statistical significance. VERY DESIRABLE

D2. In the test manual reports on reliability or error of measurement, procedures, and samples should be described sufficiently to permit a user to judge to what extent the evidence is applicable to the person and problems with which he is concerned. ESSENTIAL

[Comment: The primaries of the group, the variation in the group, and the attitude of the group toward the test should represent normal conditions of test use. For example, the reliability of a test to be used in selecting employees should be determined by testing applicants for positions rather than by testing college students or workers already employed.]

D2.1. The reliability of a school intelligence or achievement test should generally be estimated separately for each of many classes at each of several grade levels within each of several school systems. The mean and standard deviation for each sample should be reported in the test manual, along with its reliability coefficients. VERY DESIRABLE

[Comment: In some instances, there may be advantages to reporting components of variation underlying each of several classificatory variables in a testing situation.

As supplementary information, estimates of reliability for combined samples may be provided. See also C4.32, D1.1, and D3.]

D2.2. The reliability sample should be described in the test manual in terms of any selective factors related to the variable being measured. ESSENTIAL

D2.21. Demographic information, such as distributions of the subjects with respect to age, sex, socioeconomic level, intellectual level, employment status or history, and minority group membership should be given in the test manual. DESIRABLE

D2.3. If reliability coefficients are corrected for range, both the uncorrected and the corrected coefficients should be reported in the test manual, together with the standard deviation of the group actually tested and the standard deviation assumed for the corrected sample. ESSENTIAL

[Comment: The "assumed" standard deviation should correspond to that in the population for which the test is intended or in which the test is most likely to be used.]

D2.4. When a test is recommended or ordinarily employed to make discriminations within various particular categories of persons, the reliability and error of measurement within that category should be independently investigated and reported in the test manual. ESSENTIAL

[Comment: The mechanical reasoning section of a well-known aptitude test has different reliability for boys and girls. The manual reports the reliability for each sex in each grade.]

D2.41. When reported in the test manual, a reliability analysis for an intelligence or achievement test intended to effect usable differentiation within a single school grade should be based on children within the given grade only, not on a multigrade sample with a wider range of ability. ESSENTIAL

D2.42. The test manual should report whether the error of measurement varies at different score levels. If there is significant change in the error of measurement from level to level, this fact should be reported. VERY DESIRABLE

[Comment: In the manual for one well-known intelligence test, the authors have pointed out that the differences in estimated IQs on two forms of the instrument are much larger for IQs above 100 than for low IQs. Another test of college aptitude reports standard error of measurements for three score levels; at the mean, one standard deviation above the mean, and one standard deviation below the mean.]

D3. Reports of reliability studies should ordinarily be expressed in the test manual in terms of variances for error components (or their square roots) or standard errors of measurement, or product-moment reliability coefficients. ESSENTIAL

[Comment: Test authors and publishers should avoid unconventional statistics unless conventional statistics are definitely inappropriate. If unusual statistical analyses are presented, the explanation should minimize the likelihood of misinterpretation. Any statistic employed should indicate the degree of relationship rather than merely whether an hypothesis of zero relationship can be rejected.]

D3.1. The manual should make clear that measures of reliability do not demonstrate the criterion-related validity of the test. ESSENTIAL

[Comment: Reliability is a necessary but not a sufficient condition of validity. Reliability coefficients are pertinent to validity in the negative sense that unreliable scores cannot be valid. But reliable scores are by no means *ipso facto* valid, since validity depends on what interpretation is proposed. Reliability is of special importance in support of, but not in replacement of, the analysis and estimation of content, criterion-related, and construct validity.]

Comparability of Forms

D4. If two forms of a test are published, both forms being intended for possible use with the same subjects, the means and variances of the two forms should be reported in the test manual along with the coefficient of correlation between the two sets of scores. If necessary evidence is not provided, the test manual should warn the reader against assuming comparability. ESSENTIAL

D4.1. Whenever feasible, the test manual should present a summary of item statistics for each form, such as a frequency distribution of item difficulties and of indices of item discrimination. DESIRABLE

D4.2. Whenever the content of the items can be described meaningfully, it is advisable that a comparative analysis of the forms be presented in the test manual to show how similar they are. VERY DESIRABLE

[Comment: In the instance of two forms of an achievement test, a chart or table should be presented. Not only frequency distributions of item statistics but also a tabulation of frequency of items by categories of subject-matter content and of behavioral or instructional objectives should be furnished. The two forms should represent different samples of items within each category. Artificially close similarity between forms which could be attained by matching item for item from form to form is not desirable because it hides real errors of measurement associated with content sampling, and in this case the interitem correlation is a spuriously high estimate of the reliability.]

D4.3. Whenever two sets of performances on a test are correlated to determine comparability and stability, the interval of time between the testings should be specified in the test manual. ESSENTIAL

D4.4. To show comparability over the range of scores, the test manual should present a table showing what raw scores on the two forms occupy the same percentile positions in the population. The data may be obtained from appropriately stratified samples adequately large in relation to the reported size of the standard deviation (stratified on sex and other salient variables). If one sample receives each form, care must be taken to control differential practice and fatigue effects through use of an appropriate design of test administration. DESIRABLE

Internal Consistency

D5. If the test manual suggests that a score is a measure of a generalized,

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homogeneous trait, evidence of internal consistency should be reported. ESSENTIAL

[Comment: Internal consistency is important if items are viewed as a sample from a relatively homogeneous universe, as in a test of addition with integers, a list of general high school vocabulary, or a test presumed to measure introversion. Nevertheless, measures of internal consistency should not be regarded as a substitute for other measures. When alternate forms are available, alternate-form reliabilities should be reported in preference to but not necessarily to the exclusion of coefficients based on internal analysis.]

D5.1. Estimates of internal consistency should be determined by the split-half methods or methods of the Kuder-Richardson type, if these can properly be used on the data under examination. Any other measure of internal consistency which the author wishes to report in addition should be carefully explained in the test manual. ESSENTIAL

[Comment: There will no doubt be unusual circumstances where special coefficients give added information.]

D5.2. Whenever reliability coefficients based upon intern. l analysis are reported, the test manual should present evidence that speed of work has a negligible influence on scores. ESSENTIAL

[Comment: If speed is a consequential factor, the internal correlation measures will be too high by an indeterminate amount; in such cases, assuming that alternate forms are not available, the reliability coefficient should be based upon separately timed half tests.]

D5.3. When a test consists of separately scored parts or sections, the correlation between the parts or sections should be reported in the test manual along with relevant means and standard deviations. DESIRABLE

D5.31. If the test manual reports the correlation between a subtest and a total score, it should be pointed out that part of this correlation is artificial. VERY DESIRABLE

D5.4. If several questions within a test are experimentally linked so that the reaction to one question influences the reaction to another, the entire group of questions should be treated preferably as an "item" when data arising from application of the split-half or appropriate analysis-of-variance methods are reported in the test manual. ESSENTIAL

[Comment: In a reading test, several questions about the same paragraph are ordinarily experimentally dependent. All of these questions should be placed in the same half-test in using the split-half method. In the Kuder-Richardson method, the score on the group of questions should be treated as an item score. However, there may be occasions when even if the various questions based on the same paragraph of a reading test are regarded as experimentally linked it would be desirable to obtain an estimate of the reliability of the score in the sense that the derived coefficient must be a measure of the extent to which the items are experimentally linked.]

D5.5. If a test can be divided into sets of items of different content, and if it is desired to estimate its correlation with another test of similarly distributed content, the internal analysis reported in the test manual should be determined by procedures designed for such tests. VERY DESIRABLE

[Comment: One such procedure is the division of the test into "parallel" rather than random half-tests. Another procedure is to apply the Jackson-Ferguson "battery reliability" formula, in which each type of content is treated as a subtest.]

Comparisons over Time

D6. The test manual should indicate to what extent test scores are stable, that is, how nearly constant the scores are likely to be if a test is repeated after time has lapsed. The manual should also describe the effect of any such variation on the usefulness of the test. The time interval to be considered depends on the nature of the test and on what interpretation of the test scores is recommended. ESSENTIAL

[Comment: For most purposes in psychology and education, fluctuations of test scores within a few hours, days, or even months will interfere with measurement. The intention in using educational and psychological tests is to draw conclusions about relatively lasting characteristics of the person tested; hence, instability over trials or observations within a short period is regarded as a source of error variance which lowers reliability. For example, a college entrance test which is administered once is intended to measure a characteristic of a person that is related to his accomplishments over the first year of college. To the extent that the test scores fluctuate from day to day about the person's average level, they are in error. In some situations, however, where the test is intended as a measure of a changing characteristic, fluctuation over a period of weeks or months is not to be regarded as a defect in the measurement. A reading readiness test used only once for an initial tentative assignment of first-grade pupils among instructional groups is an example. Even for this test, however, stability over a month, perhaps, is required if scores are to serve their intended purpose. In experiments on the effects of drugs, on the other hand, it may be desirable to measure meaningful changes in two sets of test scores that represent a time lapse of only a few minutes.

It seems reasonable to require an assessment of stability for projective techniques and other devices for assessing personality dynamics even though it is recognized in some instances that a low retest stability over a substantial period merely reflects true trait fluctuation and hence indicates desired validity. Clinical practice rarely presumes that the inferences from projective tests are to be applied on the very day the test is given. Realistically, one must recognize that pragmatic decisions are being made from test data which are meaningful only in terms of at least days, and usually weeks or months, of therapy and other procedures following the test administration. If a certain test result is empirically found to be highly unstable from day to day, this evidence casts doubt upon the utility of the test for most purposes even if that fluctuation might be explained by the hypothesis of trait inconstancy.]

D6.1. In any report in the test manual concerning the determination of the stability of scores by repeated testing, alternate forms of the test should have been used to minimize recall of specific answers, especially if the time interval is not long enough to assure forgetting. VERY DESIRABLE

D6.11. Every time the correlation between scores on two halves of a given form or on two alternate forms of a test is reported in the test manual, the split-half coefficient, Spearman-Brown index, or a Kuder-Richardson Formula 20 estimate of consistency should be cited for the given form or for each alternate form along with a coefficient reflecting stability of the scores on each form from one administration to a subsequent administration. VERY DESIRABLE

D6.2. The report in a test manual of a study of consistency over time should state what period of time elapsed between tests and should give the mean and standard deviation of scores at each testing, as well as the correlation. ESSENTIAL

D6.3. If test scores are likely to be retained in a person's record to be consulted as new questions about him arise, the test manual should indicate the length of time following the test during which the score may continue to be used effectively for the recommended purposes. The manual should report evidence regarding the extent to which scores change within and subsequent to this interval. VERY DESIRABLE

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[Comment: Since some schools administer general mental tests or interest tests only at intervals of 2 or 3 years, the manual for such tests should report correlations and changes in means and standard deviations between tests administered 1 year apart, 2 years apart, and 3 years apart. From these data the user can learn how rapidly test records become obsolescent with the passage of time.]

D6.31. In reporting on stability, the test manual should describe the relevant experience or education of the group between testings. ESSENTIAL

E. Administration and Scoring

E1. The directions for administration should be presented in the test manual with sufficient clarity and emphasis that the test user can duplicate, and will be encouraged to duplicate, the administrative conditions under which the norms and the data on reliability and validity were obtained. ESSENTIAL

[Comment: Because persons administering tests in schools sometimes may not follow instructions rigidly and may not understand the need for doing so, it is necessary that the manual be very persuasive on this point.]

E1.1. The directions published in the test manual should be complete enough that persons tested will understand the task in the way the author intended. ESSENTIAL

[Comment: For example, in a personality inventory, it is intended that the subject give the first response that occurs to him. Hence, this expectation should be made clear in the directions read by or to the subject. Directions for interest inventories should specify whether the person is to mark what things he would ideally like to do or whether he is also to consider the possibility that he would have the opportunity and ability to do them. Likewise, the directions should specify whether the person is to mark those things he would like to do or does do *occasionally*, or only those things he would like to do or does do *regularly*.]

E1.12. The directions to the examinee in the test manual should clearly point out critical matters, such as instructions on guessing, time limits, and procedures for marking answer sheets. VERY DESIRABLE

E1.2. If expansion or elaboration of instructions described in the test manual is permitted, the conditions under which they may be done should be clearly stated either in the form of general rules or in terms of giving numerous examples, or both. VERY DESIRABLE

E1.21. If in rare instances the examiner is allowed freedom and judgment in elaborating instructions or giving examples, empirical data should be presented in the test manual regarding the effect of variation in examiner procedures upon scores. If empirical data on the effect of variation in examiner procedures are not available, this fact should be stated explicitly, and the user should be warned that the effects of such variations are unknown. DESIRABLE

E2. The procedures for scoring the test should be presented in the test manual with a maximum of detail and clarity so as to reduce the likelihood of scoring error. ESSENTIAL

E2.1. The test manual should furnish scoring instructions which maximize the accuracy of scoring an objective test by outlining a procedure for checking the obtained scores for computational or clerical errors. VERY DESIRABLE

[Comment: A checking procedure might involve scoring the answer sheets twice, scoring "rights" and "wrongs" separately (at two scoring sessions or by two different scorers), scoring by two independent scorers, spot-checking the accuracy of test scoring, or cross-checking of totals.]

E2.2. Where subjective processes enter into the scoring of a test, evidence on the degree of agreement between independent scorings under operational conditions should be presented in the test manual. If such evidence is not provided, the manual should draw attention to scoring variations as a possible significant source of errors of measurement. VERY DESIRABLE

E2.21. The bases for scoring and the procedures for training the scorers should be presented in the test manual in sufficient detail to permit other scorers to reach the degree of agreement reported in studies of scorer agreement given in the manual. VERY DESIRABLE

E2.22. If persons having various degrees of supervised training are expected to score the test, studies of the interscorer agreement at each skill level should be presented in the test manual. DESIRABLE

E2.3. If the test is designed to use more than one method for the examinee's recording his responses, such as hand-scored answer sheets, machine-scored answer sheets, or entering of responses in the test booklet, the test manual should report data on the degree to which results from these methods are interchangeable. ESSENTIAL

[Comment: The different amounts of time required for responding to items in forms adapted to different scoring methods may affect the reliability or validity of the test or the applicability of the test norms.]

E2.4. If an unusual or complicated scoring system is used, the test manual should indicate the approximate amount of time required to score the test. DESIRABLE

E2.5. The test manual should recommend that "correction for guessing" formulas or multiple-regression analysis should usually be used with multiple-choice and true-false items unless: (*a*) there is either no time limit, or a generous time limit *and* a warning is given by the proctor near the end concerning the amount of time remaining, and (*b*) instructions are unequivocal to mark every item, including *pure guesses*. ESSENTIAL

E2.51. When the test manual indicates that the "correlation for guessing" formula is to be used, examinees should be instructed to make the best choice that they can on items the answers of which they do not know, and to skip an item *only* if an answer would be a *pure guess*. ESSENTIAL

F. Scales and Norms

F1. Scales used for reporting scores should be so carefully described in the test manual as to increase the likelihood of accurate interpretation and the understanding of both the test interpreter and the subject. ESSENTIAL

[Comment: Scales in which the test scores are reported are extremely varied. Both raw and relative scores are used. Scales purporting to represent equal intervals with respect to some external dimension (such as age) are sometimes employed. It is unwise for these recommendations to discourage the development of new scaling methods through insistence on one form of reporting. On the other hand, many different systems are now used which have no logical advantage one over the other. The recommendations below that the number of systems now employed be reduced to a few with which testers can become familiar are not intended to discourage the use of unique scales for special problems. Suggestions concerning preferable scales for general reporting are not intended to restrict use of other scales in research.]

F1.1. Standard scores should in general be used in preference to other derived scores. The system of standard scores should be consistent with the purposes for which the test is intended, and should be described in detail in the test manual. The reasons for choosing that scale in preference to other scales should

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also be made clear in the manual. VERY DESIRABLE

[Comment: The most widely used conventions are as follows: for a two-digit standard score, a mean of 50 and standard deviation of 10; for a one-digit standard score, a mean of 5 and a standard deviation of 2 (as in stanines). The foregoing are proposed as ways of standardizing practice among test developers. It is expected that institutions with established systems will continue to retain them as related to their purposes. The manual should also specify whether the standard scores are linear transformations of raw scores or normalized.]

F1.2. Whenever it is suggested in the test manual that percentile scores are to be plotted on a profile sheet, the profile sheet should be based on the normal probability scale or some other appropriate nonlinear transformation. VERY DESIRABLE

F1.3. If grade norms are provided, tables for converting scores to standard scores or percentile ranks within each grade should also be provided in the test manual. DESIRABLE

[Comment: At the high school level, norms within courses (e.g., second-year Spanish) may be more appropriate than norms within grades.]

F2. If scales are revised, new forms added, or other changes made, the revised test manual should provide tables of equivalence between the new and the old forms. This provision is particularly important in cases where data are recorded on cumulative records. ESSENTIAL

[Comment: New forms of a test should be equated to *recently determined* standard score scales of other forms in order that the user may be confident that the scores furnished by the new forms are comparable with those of earlier forms.]

F3. Local norms are more important for many uses of tests than are published norms. In such cases the test manual should suggest appropriate emphasis on local norms and describe methods for their calculation. VERY DESIRABLE

[Comment: Local norms furnish types of information different from that furnished by regional or national norms. They are more important for many uses of tests than are published norms. A test manual may advantageously furnish an explanation of how local norms may be established. They may be obtained through utilization of the same procedures as those employed in determination of national norms. For example, when local percentile ranks are obtained, the cumulated frequency ought to include half the frequency of a given raw score if this same circumstance characterizes the tables of national percentiles. Many achievement tests, clinical tests, and tests used for vocational guidance might well present a similar statement. In addition, it should be general practice to explain the preparation of expectancy tables to accompany local norms, as well as to indicate whether the scores are to be used in prediction or in identification of "overachievers" and "underachievers."]

F4. Except where the primary use of a test is to compare individuals with their own local group, norms should be published in the test manual at the time of release of the test for operational use. ESSENTIAL

[Comment: A well-known interest schedule provides a profile of 20 raw scores. Because all fields involve the same number of items, norms are said to be unnecessary. Yet a change in any one group of items would make that category more or less preferred. Hence, to know whether a high score reflects this individual's interests, or only that these items are popular with everyone, the user must consult a set of norms. Judgment in terms of raw scores could be made only if by some unusual method it could be demonstrated that the items in each category are a representative sample of that field and preferably only when the means and standard deviations are available.]

F4.1. Even though a test is used primarily with local norms, the test manual should give some norms to aid the interpreter who lacks local norms. DESIRABLE

[Comment: One instrument designed to measure employee aptitude stresses the value of local norms but also includes norms based on a wide variety of occupational and educational classifications.]

F5. Norms should be reported in the test manual in terms of standard scores or percentile ranks which reflect the distribution of scores in an appropriate reference group or groups. ESSENTIAL

F5.1. Measures of central tendency and variability of each distribution should be given in the test manual. ESSENTIAL

F5.2. In addition to norms, tables showing what expectation a person with a test score has of attaining or exceeding some relevant criterion score should be given in the test manual whenever possible. Conversion tables translating test scores into proficiency levels should be given whenever possible. Conversion tables translating test scores into proficiency levels should be given when proficiency can be described on a meaningful absolute scale. DESIRABLE

F6. Norms presented in the test manual should refer to defined and clearly described populations. These populations should be the groups to whom users of the test will ordinarily wish to compare the persons tested. ESSENTIAL

[Comment: There should be a description of the detailed method of deriving the norms, the bases for extrapolation of the norms, if any, the methods used to assure comparability of different forms used on different levels and of alternate forms, and the methods employed to determine the comparability of revised and earlier forms. General aptitude tests designed for use with elementary school children might well present norms by grade-groups and by chronological age groups.

For occupational interest inventories, norms based on men who have entered specific occupations should be developed except where cutting scores or regression formulas are provided for predicting occupational criteria. Ultimately, norms should also be developed for groups of students at different ages before they enter occupations.

The manual should point out that a person who has a high degree of interest in a curriculum or occupation, when compared to men-in-general, will generally have a much lower degree of interest when compared with persons actually engaged in that field. Thus a *high* percentile score on a scale reflecting mechanical interest, in which the examinee is compared with men-in-general, may be equivalent to a *low* percentile when the examinee is compared with auto mechanics.]

F6.1. The test manual should report the method of sampling from the population of examinees and should discuss any probable bias in this sampling procedure. ESSENTIAL

F6.11. Norms reported in any test manual should be based on a well-planned sample rather than on data collected primarily on the basis of availability. ESSENTIAL

[Comment: Occupational and educational test norms have often been based on scattered groups of test papers, for authors sometimes have requested that all users mail in results for use in subsequent reports of norms. Distributions so obtained are subject to unknown degrees and types of biases. Hence, the methods for obtaining such samples should be clearly described. Whenever possible, such samples should be stratified and weighted through use of census data to remove some of the bias. Samples which are carefully designed *ab initio* will give more dependable norms than samples chosen in terms of their availability, since stratification in this situation cannot remove all sampling error.]

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F6.12. In the instance of achievement tests the adequacy of the normative sample described in the test manual should be judged primarily in terms of the number of schools as well as the number of cases, provided, of course, that the number of students in each school is large enough to reflect the performance associated with certain levels on the stratifying variables. ESSENTIAL

F6.2. The description of the norm group should be sufficiently complete in the test manual that the user can judge whether his sample data fall within the population data represented by the norm group. The description should include number of cases, classified by such relevant variables as age, sex, and educational status. If cluster sampling is employed, the description of the norm group should state the number of separate groups tested. ESSENTIAL

[Comment: Manuals often use too gross a classification system in describing their normative data. For example, one employee aptitude survey instrument provides a variety of normative data for many occupational and educational groupings. However, the lack of information as to sex, age, education, and experience levels within these groupings considerably reduces the usefulness of the norms.]

F6.3. The number of cases on which the norms are based should be reported in the test manual. If cluster sampling is employed, the number and description of the separate groups included in the sample should be cited. ESSENTIAL

F6.31. If the sample on which norms are based is small or otherwise undependable, the user should be cautioned explicitly in the test manual regarding the possible magnitude of errors arising in interpretation of scores. ESSENTIAL

F6.4. The test manual should report whether scores vary for groups differing on age, sex, amount of training, and other equally important variables. ESSENTIAL

F6.5. Norms on subtests or groups of test items should be reported in the test manual only if data on the validity and reliability of such subtests or groups of items are also indicated. ESSENTIAL

[Comment: The test user is justified in assuming that, when norms are given for a part of a test, the author implies the usefulness of them for interpreting pupil performance. The reliability and validities of such scores should be reported to support such uses.]

F6.6. Some profile sheets record, side by side, scores from tests so standardized that for different scores the person is compared to different norm groups. The test manual should recommend profiles of this type for use only when tests are intended to assess or to predict the person's standing in different situations or when he competes with the different groups. Whenever such mixed scales are compared, the fact that the norm groups differ (or may differ) should be made clear on the profile sheet. VERY DESIRABLE

F6.7. The conditions under which normative data were obtained should be reported in the test manual. The conditions of testing, including the circumstances under which the subjects took the test, and their levels of motivation, should be reported. ESSENTIAL

[Comment: Some tests are standardized on job-applicant groups; others, on groups which have requested vocational guidance; and still others, on groups which realized that they were experimental subjects. Motivation for taking tests, test-taking attitudes, abilities, and personality characteristics possibly differ in these groups.]

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(d) Because discrimination on the basis of citizenship has the effect of discriminating on the basis of national origin, a lawfully immigrated alien who is domiciled or residing in this country may not be discriminated against on the basis of his citizenship, except that it is not an unlawful employment practice for an employer, pursuant to section 703(g), to refuse to employ any person who does not fulfill the requirements imposed in the interests of national security pursuant to any statute of the United States or any Executive order of the President respecting the particular position or the particular premises in question.

(e) In addition, some States have enacted laws prohibiting the employment of noncitizens. For the reasons stated above such laws are in conflict with and are, therefore, superseded by Title VII of the Civil Rights Act of 1964.

(Sec. 713(a), 78 Stat. 265; 42 U.S.C. 2000e-12)
[35 F.R. 421, Jan. 13, 1970]

PART 1607—GUIDELINES ON EMPLOYEE SELECTION PROCEDURES

Sec.

1607.1 Statement of purpose.
1607.2 "Test" defined.
1607.3 Discrimination defined.
1607.4 Evidence of validity.
1607.5 Minimum standards for validation.
1607.6 Presentation of validity evidence.
1607.7 Use of other validity studies.
1607.8 Assumption of validity.
1607.9 Continued use of tests.
1607.10 Employment agencies and employment services.
1607.11 Disparate treatment.
1607.12 Retesting.
1607.13 Other selection techniques.
1607.14 Affirmative action.

AUTHORITY: The provisions of this Part 1607 issued under sec. 713(a), 78 Stat. 265; 42 U.S.C. 2000e-12.

SOURCE: The provisions of this Part 1607 appear at 35 F.R. 12333, Aug. 1, 1970, unless otherwise noted.

§ 1607.1 Statement of purpose.

(a) The guidelines in this part are based on the belief that properly validated and standardized employee selection procedures can significantly contribute to the implementation of nondiscriminatory personnel policies, as required by title VII. It is also recognized that professionally developed tests, when used in conjunction with other tools of personnel assessment and complemented by sound programs of job design, may significantly aid in the development and maintenance of an efficient work force and, indeed, aid in the utilization and conservation of human resources generally.

(b) An examination of charges of discrimination filed with the Commission and an evaluation of the results of the Commission's compliance activities has revealed a decided increase in total test usage and a marked increase in doubtful testing practices which, based on our experience, tend to have discriminatory effects. In many cases, persons have come to rely almost exclusively on tests as the basis for making the decision to hire, transfer, promote, grant membership, train, refer or retain, with the result that candidates are selected or rejected on the basis of a single test score. Where tests are so used, minority candidates frequently experience disproportionately high rates of rejection by failing to attain score levels that have been established as minimum standards for qualification.

It has also become clear that in many instances persons are using tests as the basis for employment decisions without evidence that they are valid predictors of employee job performance. Where evidence in support of presumed relationships between test performance and job behavior is lacking, the possibility of discrimination in the application of test results must be recognized. A test lacking demonstrated validity (i.e., having no known significant relationship to job behavior) and yielding lower scores for classes protected by title VII may result in the rejection of many who have necessary qualifications for successful work performance.

(c) The guidelines in this part are designed to serve as a workable set of standards for employers, unions and employment agencies in determining whether their selection procedures conform with the obligations contained in title VII of the Civil Rights Act of 1964. Section 703 of title VII places an affirmative obligation upon employers, labor unions, and employment agencies, as defined in section 701 of the Act, not to discriminate because of race, color, religion, sex, or national origin. Subsection (h) of section 703 allows such persons "* * * to give and to act upon the results of any professionally developed ability test provided that such test, its administration or action upon the results

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is not designed, intended or used to discriminate because of race, color, religion, sex or national origin."

§ 1607.2 "Test" defined.

For the purpose of the guidelines in this part, the term "test" is defined as any paper-and-pencil or performance measure used as a basis for any employment decision. The guidelines in this part apply, for example, to ability tests which are designed to measure eligibility for hire, transfer, promotion, membership, training, referral or retention. This definition includes, but is not restricted to, measures of general intelligence, mental ability and learning ability; specfic intellectual abilities; mechanical, clerical and other aptitudes; dexterity and coordination; knowledge and proficiency; occupational and other interests; and attitudes, personality or temperament. The term "test" includes all formal, scored, quantified or standardized techniques of assessing job suitability including, in addition to the above, specific qualifying or disqualifying personal history or background requirements, specific educational or work history requirements, scored interviews, biographical information blanks, interviewers' rating scales, scored application forms, etc.

§ 1607.3 Discrimination defined.

The use of any test which adversely affects hiring, promotion, transfer or any other employment or membership opportunity of classes protected by title VII constitutes discrimination unless: (a) the test has been validated and evidences a high degree of utility as hereinafter described, and (b) the person giving or acting upon the results of the particular test can demonstrate that alternative suitable hiring, transfer or promotion procedures are unavailable for his use.

§ 1607.4 Evidence of validity.

(a) Each person using tests to select from among candidates for a position or for membership shall have available for inspection evidence that the tests are being used in a manner which does not violate § 1607.3. Such evidence shall be examined for indications of possible discrimination, such as instances of higher rejection rates for minority candidates than nonminority candidates. Furthermore, where technically feasible, a test should be validated for each minority group with which it is used; that is, any differential rejection rates that may exist, based on a test, must be relevant to performance on the jobs in question.

(b) The term "technically feasible" as used in these guidelines means having or obtaining a sufficient number of minority individuals to achieve findings of statistical and practical significance, the opportunity to obtain unbiased job performance criteria, etc. It is the responsibility of the person claiming absence of technical feasibility to positively demonstrate evidence of this absence.

(c) Evidence of a test's validity should consist of empirical data demonstrating that the test is predictive of or significantly correlated with important elements of work behavior which comprise or are relevant to the job or jobs for which candidates are being evaluated.

(1) If job progression structures and seniority provisions are so established that new employees will probably, within a reasonable period of time and in a great majority of cases, progress to a higher level, it may be considered that candidates are being evaluated for jobs at that higher level. However, where job progression is not so nearly automatic, or the time span is such that higher level jobs or employees' potential may be expected to change in significant ways, it shall be considered that candidates are being evaluated for a job at or near the entry level. This point is made to underscore the principle that attainment of or performance at a higher level job is a relevant criterion in validating employment tests only when there is a high probability that persons employed will in fact attain that higher level job within a reasonable period of time.

(2) Where a test is to be used in different units of a multiunit organization and no significant differences exist between units, jobs, and applicant populations, evidence obtained in one unit may suffice for the others. Similarly, where the validation process requires the collection of data throughout a multiunit organization, evidence of validity specific to each unit may not be required. There may also be instances where evidence of validity is appropriately obtained from more than one company in the same industry. Both in this instance and in the use of data collected throughout a multiunit organization, evidence of validity specific to each unit may not be required: *Provided,* That no significant

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differences exist between units, jobs, and applicant populations.

§ 1607.5 Minimum standards for validation.

(a) For the purpose of satisfying the requirements of this part, empirical evidence in support of a test's validity must be based on studies employing generally accepted procedures for determining criterion-related validity, such as those described in "Standards for Educational and Psychological Tests and Manuals" published by American Psychological Association, 1200 17th Street NW., Washington, D.C. 20036. Evidence of content or construct validity, as defined in that publication, may also be appropriate where criterion-related validity is not feasible. However, evidence for content or construct validity should be accompanied by sufficient information from job analyses to demonstrate the relevance of the content (in the case of job knowledge or proficiency tests) or the construct (in the case of trait measures). Evidence of content validity alone may be acceptable for well-developed tests that consist of suitable samples of the essential knowledge, skills or behaviors composing the job in question. The types of knowledge, skills or behaviors contemplated here do not include those which can be acquired in a brief orientation to the job.

(b) Although any appropriate validation strategy may be used to develop such empirical evidence, the following minimum standards, as applicable, must be met in the research approach and in the presentation of results which constitute evidence of validity:

(1) Where a validity study is conducted in which tests are administered to applicants, with criterion data collected later, the sample of subjects must be representative of the normal or typical candidate group for the job or jobs in question. This further assumes that the applicant sample is representative of the minority population available for the job or jobs in question in the local labor market. Where a validity study is conducted in which tests are administered to present employees, the sample must be representative of the minority groups currently included in the applicant population. If it is not technically feasible to include minority employees in validation studies conducted on the present work force, the conduct of a validation study without minority candidates does not relieve any person of his subsequent obligation for validation when inclusion of minority candidates becomes technically feasible.

(2) Tests must be administered and scored under controlled and standardized conditions, with proper safeguards to protect the security of test scores and to insure that scores do not enter into any judgments of employee adequacy that are to be used as criterion measures. Copies of tests and test manuals, including instructions for administration, scoring, and interpretation of test results, that are privately developed and/or are not available through normal commercial channels must be included as a part of the validation evidence.

(3) The work behaviors or other criteria of employee adequacy which the test is intended to predict or identify must be fully described; and, additionally, in the case of rating techniques, the appraisal form(s) and instructions to the rater(s) must be included as a part of the validation evidence. Such criteria may include measures other than actual work proficiency, such as training time, supervisory ratings, regularity of attendance and tenure. Whatever criteria are used they must represent major or critical work behaviors as revealed by careful job analyses.

(4) In view of the possibility of bias inherent in subjective evaluations, supervisory rating techniques should be carefully developed, and the ratings should be closely examined for evidence of bias. In addition, minorities might obtain unfairly low performance criterion scores for reasons other than supervisor's prejudice, as when, as new employees, they have had less opportunity to learn job skills. The general point is that all criteria need to be examined to insure freedom from factors which would unfairly depress the scores of minority groups.

(5) Differential validity. Data must be generated and results separately reported for minority and nonminority groups wherever technically feasible. Where a minority group is sufficiently large to constitute an identifiable factor in the local labor market, but validation data have not been developed and presented separately for that group, evidence of satisfactory validity based on other groups will be regarded as only provisional compliance with these guidelines pending separate validation of the test for the minority group in question. (See § 1607.9). A test which is differentially

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valid may be used in groups for which it is valid but not for those in which it is not valid. In this regard, where a test is valid for two groups but one group characteristically obtains higher test scores than the other without a corresponding difference in job performance, cutoff scores must be set so as to predict the same probability of job success in both groups.

(c) In assessing the utility of a test the following considerations will be applicable:

(1) The relationship between the test and at least one relevant criterion must be statistically significant. This ordinarily means that the relationship should be sufficiently high as to have a probability of no more than 1 to 20 to have occurred by chance. However, the use of a single test as the sole selection device will be scrutinized closely when that test is valid against only one component of job performance.

(2) In addition to statistical significance, the relationship between the test and criterion should have practical significance. The magnitude of the relationship needed for practical significance or usefulness is affected by several factors, including:

(i) The larger the proportion of applicants who are hired for or placed on the job, the higher the relationship needs to be in order to be practically useful. Conversely, a relatively low relationship may prove useful when proportionately few job vacancies are available;

(ii) The larger the proportion of applicants who become satisfactory employees when not selected on the basis of the test, the higher the relationship needs to be between the test and a criterion of job success for the test to be practically useful. Conversely, a relatively low relationship may prove useful when proportionately few applicants turn out to be satisfactory;

(iii) The smaller the economic and human risks involved in hiring an unqualified applicant relative to the risks entailed in rejecting a qualified applicant, the greater the relationship needs to be in order to be practically useful. Conversely, a relatively low relationship may prove useful when the former risks are relatively high.

§ 1607.6 Presentation of validity evidence.

The presentation of the results of a validation study must include graphical and statistical representations of the relationships between the test and the criteria, permitting judgments of the test's utility in making predictions of future work behavior. (See § 1607.5(c) concerning assessing utility of a test.) Average scores for all tests and criteria must be reported for all relevant subgroups, including minority and nonminority groups where differential validation is required. Whenever statistical adjustments are made in validity results for less than perfect reliability or for restriction of score range in the test or the criterion, or both, the supporting evidence from the validation study must be presented in detail. Furthermore, for each test that is to be established or continued as an operational employee selection instrument, as a result of the validation study, the minimum acceptable cutoff (passing) score on the test must be reported. It is expected that each operational cutoff score will be reasonable and consistent with normal expectations of proficiency within the work force or group on which the study was conducted.

§ 1607.7 Use of other validity studies.

In cases where the validity of a test cannot be determined pursuant to § 1607.4 and § 1607.5 (e.g., the number of subjects is less than that required for a technically adequate validation study, or an appropriate criterion measure cannot be developed), evidence from validity studies conducted in other organizations, such as that reported in test manuals and professional literature, may be considered acceptable when: (a) The studies pertain to jobs which are comparable (i.e., have basically the same task elements), and (b) there are no major differences in contextual variables or sample composition which are likely to significantly affect validity. Any person citing evidence from other validity studies as evidence of test validity for his own jobs must substantiate in detail job comparability and must demonstrate the absence of contextual or sample differences cited in paragraphs (a) and (b) of this section.

§ 1607.8 Assumption of validity.

(a) Under no circumstances will the general reputation of a test, its author or its publisher, or casual reports of test utility be accepted in lieu of evidence of validity. Specifically ruled out are: assumptions of validity based on test names

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or descriptive labels; all forms of promotional literature; data bearing on the frequency of a test's usage; testimonial statements of sellers, users, or consultants; and other nonempirical or anecdotal accounts of testing practices or testing outcomes.

(b) Although professional supervision of testing activities may help greatly to insure technically sound and nondiscriminatory test usage, such involvement alone shall not be regarded as constituting satisfactory evidence of test validity.

§ 1607.9 Continued use of tests.

Under certain conditions, a person may be permitted to continue the use of a test which is not at the moment fully supported by the required evidence of validity. If, for example, determination of criterion-related validity in a specific setting is practicable and required but not yet obtained, the use of the test may continue: *Provided:* (a) The person can cite substantial evidence of validity as described in § 1607.7 (a) and (b); and (b) he has in progress validation procedures which are designed to produce, within a reasonable time, the additional data required. It is expected also that the person may have to alter or suspend test cutoff scores so that score ranges broad enough to permit the identification of criterion-related validity will be obtained.

§ 1607.10 Employment agencies and employment services.

(a) An employment service, including private employment agencies, State employment agencies, and the U.S. Training and Employment Service, as defined in section 701(c), shall not make applicant or employee appraisals or referrals based on the results obtained from any psychological test or other selection standard not validated in accordance with these guidelines.

(b) An employment agency or service which is requested by an employer or union to devise a testing program is required to follow the standards for test validation as set forth in these guidelines. An employment service is not relieved of its obligation herein because the test user did not request such validation or has requested the use of some lesser standard than is provided in these guidelines.

(c) Where an employment agency or service is requested only to administer a testing program which has been elsewhere devised, the employment agency or service shall request evidence of validation, as described in the guidelines in this part, before it administers the testing program and/or makes referral pursuant to the test results. The employment agency must furnish on request such evidence of validation. An employment agency or service will be expected to refuse to administer a test where the employer or union does not supply satisfactory evidence of validation. Reliance by the test user on the reputation of the test, its author, or the name of the test shall not be deemed sufficient evidence of validity (see § 1607.8(a)). An employment agency or service may administer a testing program where the evidence of validity comports with the standards provided in § 1607.7.

§ 1607.11 Disparate treatment.

The principle of disparate or unequal treatment must be distinguished from the concepts of test validation. A test or other employee selection standard—even though validated against job performance in accordance with the guidelines in this part—cannot be imposed upon any individual or class protected by title VII where other employees, applicants or members have not been subjected to that standard. Disparate treatment, for example, occurs where members of a minority or sex group have been denied the same employment, promotion, transfer or membership opportunities as have been made available to other employees or applicants. Those employees or applicants who have been denied equal treatment, because of prior discriminatory practices or policies, must at least be afforded the same opportunities as had existed for other employees or applicants during the period of discrimination. Thus, no new test or other employee selection standard can be imposed upon a class of individuals protected by title VII who, but for prior discrimination, would have been granted the opportunity to qualify under less stringent selection standards previously in force.

§ 1607.12 Retesting.

Employers, unions, and employment agencies should provide an opportunity for retesting and reconsideration of earlier "failure" candidates who have availed themselves of more training or experience. In particular, if any applicant or employee during the course of an interview or other employment pro-

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cedure claims more education or experience, that individual should be retested.

§ 1607.13 Other selection techniques.

Selection techniques other than tests, as defined in § 1607.2, may be improperly used so as to have the effect of discriminating against minority groups. Such techniques include, but are not restricted to, unscored or casual interviews and unscored application forms. Where there are data suggesting employment discrimination, the person may be called upon to present evidence concerning the validity of his unscored procedures as well as of any tests which may be used, the evidence of validity being of the same types referred to in §§ 1607.4 and 1607.5. Data suggesting the possibility of discrimination exist, for example, when there are differential rates of applicant rejection from various minority and nonminority or sex groups for the same job or group of jobs or when there are disproportionate representations of minority and nonminority or sex groups among present employees in different types of jobs. If the person is unable or unwilling to perform such validation studies, he has the option of adjusting employment procedures so as to eliminate the conditions suggestive of employment discrimination.

§ 1607.14 Affirmative action.

Nothing in these guidelines shall be interpreted as diminishing a person's obligation under both title VII and Executive Order 11246 as amended by Executive Order 11375 to undertake affirmative action to ensure that applicants or employees are treated without regard to race, color, religion, sex, or national origin. Specifically, the use of tests which have been validated pursuant to these guidelines does not relieve employers, unions or employment agencies of their obligations to take positive action in affording employment and training to members of classes protected by title VII.

s/ William H. Brown July 21, 1970

PART 1610—AVAILABILITY OF RECORDS

Subpart A—Production or Disclosure Under 5 U.S.C. 552(a)

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1610.1 Definitions.
1610.2 Statutory requirements.
1610.4 Purpose and scope.
1610.5 Public reference facilities and current index.
1610.7 Deletion of identifying details.
1610.9 Regional offices.
1610.11 Requests for identifiable records and copies.
1610.13 Records of other Agencies.
1610.16 User charges, waiver.
1610.17 Schedule of fees and method of payment for services rendered.
1610.20 Exemptions.
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Subpart B—Production in Response to Subpenas or Demands of Courts or Other Authorities

1610.30 Purpose and scope.
1610.32 Production prohibited unless approved by the General Counsel.
1610.34 Procedure in the event of a demand for production or disclosure.
1610.36 Procedure in the event of an adverse ruling.

AUTHORITY: The provisions of this Part 1610 issued under sec. 713(a), 78 Stat. 265; 42 U.S.C. 2000e–12, 5 U.S.C. 552.

SOURCE: The provisions of this Part 1610 appear at 32 F.R. 16261, Nov. 29, 1967, unless otherwise noted.

Subpart A—Production or Disclosure Under 5 U.S.C. 552(a)

§ 1610.1 Definitions.

As used in this part:

(a) "Act" refers to Title VII of the Civil Rights Act of 1964, 42 U.S.C. sec. 2000e et seq.

(b) "Commission" refers to the Equal Employment Opportunity Commission.

§ 1610.2 Statutory requirements.

5 U.S.C. 552(a)(3) requires each Agency, upon request for identifiable records made in accordance with published rules stating the time, place, fees to the extent authorized by statute, and procedure to be followed, to make such records promptly available to any person. 5 U.S.C. 552(b) exempts specified classes of records from all of the public access requirements of 5 U.S.C. 552 and permits them to be withheld.

§ 1610.4 Purpose and scope.

(a) This subpart contains the regulations of the Equal Employment Opportunity Commission implementing 5 U.S.C. 552. The regulations of this subpart provide information concerning the procedures by which records may be obtained from all organizational units within the Commission. Official records of the Commission made available pursuant to the requirements of 5 U.S.C. 552 shall be furnished to members of the public only as prescribed by this subpart. Officers and employees of the Commission may

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Plaintiff's Exhibit 28 — "Scatter Diagram" For 1970 Sergeant Examination (Without Letter)

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SCATTER DIAGRAM OF AGENCY AND 34007 N= 46

AGENCY

34007	1000-	1000	1001	1002	1003	1004	1005	1006	1007	1008	1009	1010	1011	1012	1013	1014	1015	1016
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27-									1									
	1000-	1000	1001	1002	1003	1004	1005	1006	1007	1008	1009	1010	1011	1012	1013	1014	1015	1016
FREQUENCY	1	0	2	0	0	0	2	1	32	6	0	0	0	0	0	0	0	0
CUM FREQ	1	1	3	3	3	3	5	6	38	44	44	44	44	44	44	44	44	44
MEAN	41.0	0.0	53.0	0.0	0.0	0.0	51.5	47.0	44.8	49.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
S.D.	0.0	0.0	3.0	0.0	0.0	0.0	3.5	0.0	9.7	2.5	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0

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	1017	1018	1019	1020	1021	1022	1023	1024
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69								
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	1017	1018	1019	1020	1021	1022	1023	1024
FREQUENCY	0	0	0	1	0	0	1	0
CUM FREQ	46	46	46	46	46	46	46	46
MEAN	0.0	0.0	0.0	59.0	0.0	0.0	83.0	0.0
S.D.	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0

1025+	F	CUMF	MEAN	S.D.
	0	46	0.0	0.0
	0	46	0.0	0.0
	0	46	0.0	0.0
	0	46	0.0	0.0
	0	46	0.0	0.0
	0	46	0.0	0.0
	2	46	19.0	8.0
	3	44	07.0	0.0
	3	41	04.3	2.5
	3	38	11.3	6.1
	3	35	07.7	0.6
	5	32	06.2	2.6
	6	27	06.7	1.0
	6	21	07.2	0.7
	3	15	07.0	0.0
	4	12	755.3	436.0
	2	8	07.0	0.0
	2	6	07.0	0.0
	2	4	07.0	0.0
	0	2	0.0	0.0
	1	2	07.0	0.0
	0	1	0.0	0.0
	0	1	0.0	0.0
	1	1	07.0	0.0

1025+	F	CUMF	MEAN	S.D.
	0	46	0.0	0.0

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(3)

GRAND TOTALS R= 0.10

	N	MEAN	S.D.
AGEACY	46	985.5	146.9
340C7	46	46.5	8.9

PX 28

(4)

SCATTER DIAGRAM OF AGENCY AND 34007 N= 1

AGENCY

		1000-	1000	1001	1002	1003	1004	1005	1006	1007	1008	1009	1010	1011	1012	1013	1014	1015	1016
34007	71+																		
	69																		
	67																		
	65																		
	63																		
	61				1														
	59																		
	57																		
	55																		
	53																		
	51																		
	49																		
	47																		
	45																		
	43																		
	41																		
	39																		
	37																		
	35																		
	33																		
	31																		
	29																		
	27																		
	27-																		

	1000-	1000	1001	1002	1003	1004	1005	1006	1007	1008	1009	1010	1011	1012	1013	1014	1015	1016
FREQUENCY	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0
CUM FREQ	0	0	0	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1
AREA	0.0	0.0	0.0	1.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
C.D.	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0

1017 1C18 1C19 1C2C 1C21 1C22 1023 1024

	1025+	F	CUMF	MEAN	S.D.
71+		0	1	0.0	0.0
69		0	1	0.0	0.0
67		0	1	0.0	0.0
65		0	1	0.0	0.0
63		1	1	1002.0	0.0
61		0	0	0.0	0.0
59		0	0	0.0	0.0
57		0	0	0.0	0.0
55		0	0	0.0	0.0
53		0	0	0.0	0.0
51		0	0	0.0	0.0
49		0	0	0.0	0.0
47		0	0	0.0	0.0
45		0	0	0.0	0.0
43		0	0	0.0	0.0
41		0	0	0.0	0.0
39		0	0	0.0	0.0
37		0	0	0.0	0.0
35		0	0	0.0	0.0
33		0	0	0.0	0.0
31		0	0	0.0	0.0
29		0	0	0.0	0.0
27		0	0	0.0	0.0
27-					

1017 1C18 1C19 1C2C 1021 1022 1023 1024

	1025+
FREQUENCY	0
CUM FREQ	1
MEAN	0.0
S.D.	0.0

(5)

PX 28

40

(6)

GRAND TOTALS R= 0.0

	N	MEAN	S.D.
ACENCY	11002.0		0.0
34007	1	61.0	0.0

SCATTER DIAGRAM OF AGENCY AND 34007 N= 997

AGENCY

34007		1000-	1000	1001	1002	1003	1004	1005	1006	1007	1008	1009	1010	1011	1012	1013	1014	1015	1016
	71+		1	1	4				2					1			3		1
	69		1	1					2		1		2		1	1			
	67			4	2		1		1				1	2	2	2			
	65		3	2	3		1			1			2	3	1	2	3		
	63		3	5	5	1	1			2	1		5	4		2	1		1
	61		1	4	4	1	6		2	1	4	1	3	7	1	4	3		
	59		3	3	4	1	5	1	2	2	9		6	7		4	6		
	57		6	9	6		9	1	3	6	6		2	8		5	5		
	55		8	8	[illegible]		12		3	6	13		10	9	1	3	1		
	53		6	10	13	1	9	2	6	5	13		11	5		6	5		
	51		5	12	10		11		5	4	7	1	6	17	2	6	7		
	49		13	12	14		6		4	2	7		7	8		5	6		
	47		11	11	6		9		2	7	6		6	10		3	2		
	45		4	2	15		8	1	1	7	7	1	9	9	1	8			
	43		7	7	4	1	6			7	3	1	4	5	1	3	4		
	41		4		6		9			1	9		1	4	1	1	2		
	39		1	3	3		5			1	7		1	6		2	3		
	37		1	2	3		3	1	2	2	3		1	2	1	1	2		
	35				1				1	2				2		1			
	33										2								
	31									1	1			1					
	29													1					
	27																		
	27-				2					1				2					
		1000-	1000	1001	1002	1003	1004	1005	1006	1007	1008	1009	1010	1011	1012	1013	1014	1015	1016
FREQUENCY		0	78	96	110	5	101	6	36	58	99	4	77	113	12	59	53	0	2
CUM FREQ		0	78	174	284	289	390	396	432	490	589	593	670	783	795	854	907	907	909
MEAN		0.0	51.6	53.2	51.4	56.4	50.7	51.3	54.4	49.1	50.2	50.3	53.2	50.9	54.9	52.7	53.9	0.0	67.5
S.D.		0.0	7.2	7.4	8.9	7.0	7.2	7.5	8.5	9.1	7.7	6.8	7.1	9.3	10.8	7.8	8.9	0.0	3.5

	1017	1018	1019	1020	1021	1022	1023	1024
71+								
69	1	1			1			
67								
65					1			
63							1	
61	6	1	4				1	
59	3	2	1	1	2			
57	5	1		3	1		3	
55	2	1		2			1	
53	3	2			1			
51	5	2	3	4				
49					2			
47	1		2				1	
45		1	1					
43		2	2	1	1			
41	1		2				1	
39	1		1		2			
37								
35				1				
33								
31				1				
29		1						
27								
27-		1						
	1017	1018	1019	1020	1021	1022	1023	1024
FREQUENCY	24	15	23	18	11	0	0	0
CUM FREQ	997	973	958	935	917	906	906	906
MEAN	55.0	50.3	50.6	50.7	51.4	0.0	55.9	0.0
S.D.	6.2	12.5	8.5	8.0	6.7	0.0	0.0	0.0

1025+	F	CUMF	MEAN	S.D.
	13	9971006.9	5.8	
	12	9961010.2	6.2	
	15	9721006.7	4.9	
	22	9571007.9	5.9	
	32	9351006.8	5.6	
	54	9031009.8	5.7	
	62	8491009.3	5.4	
	79	7071008.4	6.3	
	85	7041007.2	5.3	
	98	6231006.9	4.8	
	104	5281008.1	5.4	
	66	4211005.9	5.1	
	77	3391006.3	5.2	
	75	2501007.1	4.3	
	59	1851007.5	5.5	
	42	1261007.4	5.6	
	36	901006.7	5.5	
	24	661008.7	4.1	
	8	221009.6	5.1	
	2	141010.0	0.0	
	4	121011.5	5.1	
	2	81014.5	3.5	
	0	6 0.0	0.0	
	6	61008.5	5.6	
1025+	F	CUMF	MEAN	S.D.
	0			
	997			
	0.0			
	0.0			

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(1)

	GRAND TOTALS		R=-0.04
	N	MEAN	S.D.
AGENCY	997	1007.6	6.8
34007	997	51.9	8.4

EXH. 29-CHART-ANS. INT. 3 A/O 1/1/73

ANS. INT.3
a/o 1/1/73

	1. ACTEC	2. ALBION	3. ATTICA	4. AUBURN	5. BEDFORD*	6. CLINTON	7. COXSACKIE	8. EASTERN N.Y.	9. ELMIRA	10. GRT. MEADOW	11. GREEN HAVEN	12. MED.CNTR. (BEACON)	13. OSSINING	14. WALKILL	15. WOODBOURNE	16. ALL CAMPS	17. MAIN OFFICE
a) Total Employees	226	14	405	379	139	450	191	232	385	356	463	468	377	117	255	94	4
b) Black Employees	0	4	13	4	60	0	3	8	4	0	69	50	159	2	4	1	1
c) Hispanic Employees	0	C	2	0	6	3	2	6	3	0	17	5	24	5	3	0	0
d) Total each rank	1c	1c	1c	1c	1c	1c	1c	1c	2c	1c	1c	83ofrs	1c	1c	1c		1c
(perm)	7L	1L	8L	7L	5L	6L	6L	7L	13L	8L	5L		2L	6L	5L		2L
	0S	1S	14S	15S	7S	20S	10S	9S	16S	7S	3S		1S	8S	10S		1S
	19800	1000	37500	35400	12600	42000	17400	20800	35300	33500	43400	34800	35400	10000	23700	9400	1C
e) Blacks each rank (perm.)	-	400	1300	400	6000	-	300	800	400	-	6700	?ofrs 4500	15100	200	400	100	1C
f) Hispanics each rank	-	-	200	-	600	300	200	600	300	0	1700	?ofrs 400	2400	500	300	-	-
g) Total Provisionals	20	1	7	2	0	3	0	7	2	5	20	37	19	2	2	0	2
h) Black Provisionals	0	0	0	0	0	0	0	0	0	0	2	?	8	0	0	0	0
i) Hispanic Provisionals	0	0	0	0	0	0	0	0	0	0	0	?	0	0	0	0	0
j) Provisionals each rank	2L 18S	1L	2L 5S	1L 1S	-	3L	-	1L 6S	2S	5S	3L 17S	37ofrs	5L 14S	2S	2S	0	1L 1S
k) Black provisionals each rank	-	-	-	-	-	0	-	-	-	-	2S	?	8S	-	-	-	-
l) Hispanic provisionals each rank	-	-	-	-	-	0	-	-	-	-	-	?	-	-	-	-	-

Notes: (1) C= Captain, L= Lieutenant, S= Sergeant, CO= Correction Officer.

(2) "Ofrs" in MED. CNTR. (BEACON) includes Supvg.Officer, Chg.Officer, and Sr.Officer.

*The figures for Bedford, as stated in the answers to Interrogatory 3, were for female employees. The Bedford figures in this chart were supplied by telephone by Judith Gordon and are subject to confirmation.

PX 29.
A-1445

PL. EXH. 30-CHART-ANS. INT. 3 A/O 5/1/73

ANS. INT.3
a/o 5/1/73

	1. ACTEC	2. ALBION	3. ATTICA	4. AUBURN	5. BEDFORD*	6. CLINTON	7. COXSACKIE	8. EASTERN N.Y.	9. ELMIRA	10. GREAT MEADOW	11. GREEN HAVEN	12. MED. CNTR (BEACON)	13. OSSINING	14. WALKILL	15. WOODBURNE	16. ALL CAMPS	17. MAIN OFFICE
a) Total employees	226	62	425	409	-	452	191	242	395	374	472	522	398	118	250	94	45
b) Black employees	0	?	19	6	-	0	3	8	5	0	105	57	160	2	4	1	12
c) Hispanic employees	2	2	4	1	-	3	2	6	7	5	25	17	24	7	5	0	7
d) Total each rank	1c 9L 0S 19800	1c 4L 2S 5500	1c 8L 8S 40000	1c 8L 12S 38300	-	1c 9L 18S 42000	1c 6L 10S 17400	1c 8L 9S 21600	1c 11L 14S 36400	1c 8L 7S 34800	1c 8L 8S 44000	113ofrs 39500	1c 7L 5S 36500	1c 6L 8S 10000	1c 5L 9S 23100	9400	4c 2L 1S 3700
e) Blacks each rank	-	700	1900	600	-	-	300	800	500	-	10300	5100 6ofrs	15100	200	400	100	1c 1100
f) Hispanics each rank	200	200	400	100	-	300	200	600	700	500	2500	1500 2ofrs	2400	700	500	-	700
g) Total provisionals	18	0	8	5	-	4	0	8	5	10	15	14	20	3	6	0	1
h) Black provisionals	0	0	0	0	-	0	0	0	-	-	1	?	9	0	0	0	0
i) Hispanic provisionals	0	0	0	0	-	0	0	0	-	-	0	?	0	0	0	0	0
j) Provisionals each rank	18S	0	8S	5S	-	4S	-	8S	5S	10S	15S	14CO	20S	3S	6S	-	1S
k) Black provisionals each rank	-	-	-	-	-	-	-	-		-	1S	?	9S	-	-	-	-
l) Hispanic provisionals each rank	-	-	-	-	-	-	-	-		-	-	?	-	-	-	-	-

*As of 5/1/73 there were no male officers at Bedford.

PX 30 A-1446

Plaintiff's Exhibit 31–Table–Answer interrogatory "5" Total Employment Statistics, Department of Correctional Services (a/o 1/1/73 and 5/1/73)

ANS. INT. 5 - TOTAL EMPLOYMENT STATISTICS, DEPARTMENT OF CORRECTIONAL SERVICES

		1/1/73	5/1/73
a)	Total Employees	8321	8469
b)	Total Black Employees	541	569
c)	Total Hispanic Employees	118	156
d)	Total Employees each rank		
	Captain	18	16
	Lt.	85	99
	Sgt.	122	122
	CO.	4329	4490
	Officers	96	131
e)	Black Employees each rank		
	Captain	1	1
	Lt.	1	1
	Sgt.	0	0
	CO.	362	395
	Officers	1	1
f)	Hispanic Employees each rank		
	Captain	0	0
	Lt.	0	0
	Sgt.	0	0
	CO.	95	133
	Officers	0	0
g)	Total Provisional Employees	129	89
h)	Total Black Provisional Employees	10	8
i)	Total Hispanic Provisional Employees	1	0
j)	Total Provisional Employees each rank		
	Captain	0	0
	Lt.	19	0
	Sgt.	85	85
	CO.	0	0
	Officers	25	4
k)	Black Provisionals each rank		
	Captain	0	0
	Lt.	0	0
	Sgt.	10	8
	CO.	0	0
	Officers	0	0
l)	Hispanic Provisionals each rank	None	None

PX 31 A-1447

Plaintiff's Exhibit 32--Table--Answer interrogatory "6"
Statistical Data on Sergeants and Correction Officers

ANS. INT. 6 - STATISTICAL DATA ON SERGEANTS AND CORRECTION OFFICERS

		1/1/73	5/1/73
a)	Total permanently appointed		
	Sergeants	122	122
	Correction Officers	4329	4490
b)	Total provisionally appointed		
	Sergeants	85	91
	Correction Officers	0	0
c)	Blacks permanently appointed		
	Sergeants	0	0
	Correction Officers	362	395
d)	Blacks provisionally appointed		
	Sergeants	10	10
	Correction Officers	0	0
e)	Hispanics permanently appointed		
	Sergeant	0	0
	Correction Officers	95	133
f)	Hispanics provisionally appointed		
	Sergeants	0	0
	Correction Officers	0	0

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Plaintiff's Exhibit 33—Table—Answer interrogatory "14"—Analysis of Scatter Diagrams

ANS. INT. 14

Analysis of Scatter Diagrams

	Whites	Blacks	Hispanics
(1) All facilities			
N =	1264	103	16
#passing	383	7	2
% passing	30.3	7.2%	12.3%
Mean Score	48.9	43.2	44.2
(2) Ossining			
N =	81	81	9
# passing	19	4	0
% passing	23.5%	4.9%	0%
Mean Score	47.3	43.0	41.6
(3) Green Haven			
N =	114	8	1
# passing	36	1	0
% passing	31.6%	12.3%	0%
Mean Score	48.7	42.0	44.0
(4) Scores of 60 or higher (all facilities)			
N =	43	1	0
% of total Test-takers	3.4%	1.0%	0%

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Plaintiff's Exhibit 34—Summary of Scatter Diagram for Examination No. 34-944

SUMMARY OF "SCATTER DIAGRAM" FOR EXAMINATION 34-944

Raw Score	Number White (T=1264)	% of Whites	Number Black (T=103)	% of Blacks	Number Hispanic (T=16)	% of Hispanics
65+	5	.3	0	0	0	0
63	9	.7	0	0	0	0
61	29	2.2	1	.9	0	0
59	45	3.5	0	0	0	0
57	69	5.4	1	.9	0	0
55	97	7.6	1	.9	1	6.2
53	136	11.5	4	3.9	1	6.2
Failing	874	69.0	96	93.0	14	87.0

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A-1450

SUMMARY OF "SCATTER DIAGRAMS" FOR EXAMINATION 34-007

Raw Score	Number White (T=997)	% of Whites	Number Black (T=46)	% of Blacks	Number Hispanic (T=1)	% of Hispanic
71+	13	1.3	0	0	0	0
69	12	1.2	0	0	0	0
67	15	1.5	0	0	0	0
65	22	2.2	0	0	0	0
63	32	3.2	0	0	0	0
Failing	903	90.5	46	100	1	100

Plaintiff's Exhibit 35-Summary of Scatter Diagram for Examination No. 34-007

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A-1451

PL. EXH. 36–LETTER FROM SUPERINTENDENT VINCENT TO ALBERT YOUNG, DATED APRIL 18, 1973

STATE OF NEW YORK
DEPARTMENT OF CORRECTIONAL SERVICES
GREEN HAVEN CORRECTIONAL FACILITY
STORMVILLE, N. Y. 12582

Leon J. Vincent
Superintendent

914-226-2711

36 +d

April 18, 1973

Mr. Albert Young
Correction Sergeant
Route 216
Stormville, New York 12582

Dear Sergeant Young:

I would like to take this opportunity to thank you for your willingness to accept the responsibilities and position of Correction Sergeant on a provisional basis. The Department and this facility were at that time, in need of men who would come forth and be willing to accept these responsibilities.

I would like to commend you on the conscientiousness and diligence with which you have discharged your duties in this capacity.

I am pleased that we have been able to retain your services a little longer, and would be happy to have you on my staff.

Very truly yours,

Superintendent

LJV/gl

PL. EXH. 37-LETTER FROM SUPERINTENDENT SCHUBIN TO ARTHUR SUGGS, DATED APRIL 6, 1973

INTER-DEPARTMENTAL COMMUNICATION

PLAINTIFF.

April 6, 1973

37

Mr. Arthur Suggs
Correction Sergeant

Dear Sir:

I wish to express my personal appreciation by commending you for your cooperation, perseverance and dedicated performance as a Supervisor at the Ossining Correctional Facility when the need for such leadership was critical.

I also wish to advise that I would recommend you for permanent appointment at this or any institution if the occasion should arise.

Very truly yours,

Theodore Schubin
SUPERINTENDENT

TS:db

PX 37

PL. EXH. 38-LETTER FROM SUPERINTENDENT SCHUBIN
TO NATHANIEL HAYES, DATED APRIL 6, 1973

INTER-DEPARTMENTAL COMMUNICATION

PLAINTIFF

38 Identified

April 6, 1973

Mr. Nathaniel Hayes
Correction Sergeant

Dear Sir:

I wish to express my personal appreciation by commending you for your cooperation, perseverance and dedicated performance as a Supervisor at the Ossining Correctional Facility when the need for such leadership was critical.

I also wish to advise that I would recommend you for permanent appointment at this or any institution if the occasion should arise.

Very truly yours,

Theodore Schubin
SUPERINTENDENT

TS:db

Px 38

PL. EXH. 38-LETTER OF SUPERINTENDENT SCHUBIN TO KIRKLAND, DATED APRIL 6, 1973 (WITH ATTACHMENT)

INTER-DEPARTMENTAL COMMUNICATION

April 6, 1973

Mr. Edward Kirkland
Corr.Sergeant

Dear Sir:

I wish to express my personal appreciation by commending you for your cooperation, perseverance and dedicated performance as a Supervisor at the Ossining Correctional Facility when the need for such leadership was critical.

I also wish to advise that I would recommend you for permanent appointment at this or any institution if the occasion should arise.

Very truly yours,

Theodore Schubin
SUPERINTENDENT

TS:bh

PX 39

STATE OF NEW YORK
DEPARTMENT OF CORRECTIONAL SERVICES
State Office Building Campus
Albany, New York 12226

Edward Kirkland

Ossining Corr. Facility

Ossining, New York

Dear Mr. Kirkland:

We are pleased to advise you of your appointment and/or assignment to duty with the New York Department of Correctional Services. You are requested to present this letter at the time and place and to the person indicated.

PAYROLL ITEM NO.	11167 (Old 283)
TITLE/GRADE	Correction Officer SG-14
TYPE OF APPT./RULE NO.	Permanent
ANNUAL SALARY	$11,941
EFFECTIVE DATA/TIME	April 12, 1973
LOCATION	Ossining Corr. Facility
REPORT TO	
PROBATIONARY PERIOD	

Please read the information on the back of this letter concerning probationary periods and physical examination, which may be applicable to you. The length of your probationary period is given above.

If, for any reason, you cannot accept appointment, please return this letter to the location indicated above. Indicate on the reverse side the reasons you cannot report for duty as directed.

We congratulate you on your appointment and wish you every success in your work in the correctional services field.

Very truly yours,

RUSSELL G. OSWALD
Commissioner

Px 39-7 A-1456 Harold P. Barkhead
Director of Personnel
4-4-73
Date

PL. EXH. 41–NOTIFICATION OF RESULT ON EXAMINATION NO. 1439 TO HENRY A. LIBURD

STATE OF NEW YORK ⇔ DEPARTMENT OF CIVIL SERVICE

— NOTIFICATION OF EXAMINATION RESULT —

TITLE: 1439 CORRECTION SERGEANT G 15 CORRECTION B

YOUR RESULTS IN THE EXAMINATION IDENTIFIED ABOVE ARE SHOWN IN THE BOXES BELOW.

YOUR NAME HAS BEEN PLACED ON THE ELIGIBLE LIST. IF YOUR FINAL RATING SHOWN BELOW IS 74.5 OR OVER, YOUR RANK (STANDING ON THE ELIGIBLE LIST) APPEARS IN THE CENTER BOX BELOW.

YOUR NAME HAS NOT BEEN PLACED ON THE ELIGIBLE LIST. IF YOUR FINAL RATING SHOWN BELOW IS LESS THAN 74.5. FOR AN EXPLANATION OF CODE, SEE THE OTHER SIDE OF FORM.

LIBURD HENRY A
DUSINBERRE RD
GARDINER NY

EXAM. NO.	RANK OR CODE	FINAL RATING
1439	153	76.7

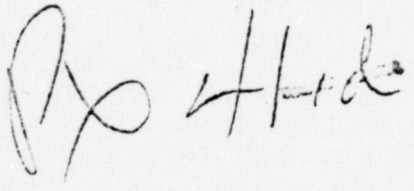
VET. CREDITS CODE

SEE OTHER SIDE

999999
75 76 77 78 79 80

XC-30 (8-63)

PLAINTIFF



1. Descriptive Title: A Project Approach to use of New Analy: Technology in Construction and Validat Program.

PLAINTIFF

42

2. Priority Ranking

3. Project Director: Samuel Taylor, Director
Staff Services Section
Department of Civil Service
State Campus, Albany, New York 12226

Telephone: 518-457-5428

4. Need for Program

Until recently there has been a society-wide assumption of the validity of Civil Service personnel selection based on the apparently job-related subject matter of tests and the consensus of participants on the reality, importance, and measurability of general intellectual and personal attributes. Testing this assumption was not technologically feasible.

The situation is now reversed--the consensus is gone, while the technology exists.

Professional, employee, and minority groups have successfully attacked, both administratively and judicially, Civil Service selection methods. Their respective charges of redundancy, irrelevance and discrimination can be met, fortunately, with the same argument--the empirical validations of tests; there is still a consensus on the value of data and scientific method in personnel selection, evidenced by federal laws, guidelines, and many court decisions. Also, the economic value of valid tests has not been disputed.

The development of two technologies, EDP and test construction and analysis, make possible the routine validation of selection methods. In EDP, the large processors and storage devices required are now almost commonplace. In test technology, the job element -- selection element concept, the idea that a job can be broken down into groups of duties, each of them identified with particular knowledges, skills, or abilities and separately tested, as illustrated

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4. Need for Program contd.

by the EEOC guidelines, has for several years been the foundation of the New York State selection program; most of the required computer capability and staff expertise in construct and content analysis have been created.

In the fall of 1971 our system had matured to the point that we undertook a program to routinely evaluate the predictive validity of our selection methods.

External pressures, both of organized groups and the pervasive pressure of tighter budgets, require a telescoping of normal organization and program development.

Present organization structures and processes do not use, and indeed militate against, a system or program approach to the selection and validation problems. Organization units are defined by specialized function, e.g., Classification, Recruitment, Test Development. Record systems, audit oriented, support these functions and processes; they are neither intended nor normally used for program evaluation. Due process is an over-riding value.

The need is to develop, as quickly as possible, new types of organizational units, and new records and procedures, to support a selection system based on accepted standards of test validation. The project team is the proposed type of organization unit: their mode of attack is to evaluate the validity of present selection methods, and to create valid methods, for a series of job titles in one occupational area, i.e., Correction Officer, Sergeant, and Lieutenant.

5. Principal Concrete Results or Benefits Expected

The selection devices and program produced will be an immediate benefit. The methods and procedures developed should be of even greater value as models and guides for the State selection program, and the selection programs of local jurisdictions using State examinations.

6. Approach and Timetable

a. Occupational Area Covered by the Project

This project will cover the first three levels of the Correction Officer series, i.e., Correction Officer and Correction Officer (Spanish Speaking), Correction Sergeant, and Correction Lieutenant. Other titles will be studied as they affect characteristics of this main series. It would be redundant to review here the importance of good selection in this occupation, and the difficulties of deciding on and carrying out a program. The last formal study of Officer selection was in 1961, and supported present practice. The jobs have changed greatly since then, particularly in the last two years.

As to numbers available for study, there are approximately 3300 male officers, 120 Sergeants, and 81 Lieutenants, and 13 institutions.

There are 146 female officers, 11 Sergeants and 5 Lieutentants.

The test for Correction Officer is open continuously and administered on a "spot" basis as needed. The written test covers situational judgment, reading comprehension, and report preparation.

For several years, better than 85% of candidates have passed the examination; the use of the test should not critically restrict the range available for the study on the skills tested.

A more serious restriction is caused by the minimum requirement of high school graduation or its equivalent. It may be necessary to abandon this requirement pending demonstration of its validity.

The promotional tests for the higher levels are held every two years. Subjects covered are:

Laws, rules and regulations governing administration of Correction Institutions,

Modern correctional methods and practices,

Using good judgment in correctional field,

Principles and practices of supervision and

Understanding and interpreting written material.

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6. Approach and Timetable contd.

a. Occupational Area Covered by the Project contd.

The overlap of test materials, and, in successive examinations, of candidates makes the series a coherent field of study.

For most study subjects, scores on the promotion examination will be available to help appraise performance on this type of test and test material, multiple choice, subject matter written, against job performance.

Variations by ethnic group and by institution will be of particular interest.

There are approximately 250 Black male Correction Officers, and approximately 100 Black female Officers, enough to permit study of ethnic effects. They are, however, concentrated in two institutions. To the extent that job analysis indicates between institution differences, it may be necessary to solicit other jurisdictions for study subjects.

b. Execution

Short Project Description:

(1) Job analysis of a sample of positions in the titles selected for study, and development of a plan relating each performance criterion developed to a particular selection method; present job descriptions and test plans will be the starting point for the analysis; job audit, interviews with Officers and Supervisors, and expert advisors will be used to evaluate the original plan, and to clearly identify the job elements and define the knowledges, skills and abilities required; each job element--selection element pair will be pretested as developed;

(2) construction of an experimental selection system and performance rating system, made up of the pieces developed in (1), and administration and analysis of both with an independent sample of positions;

6. Approach and Timetable contd.

b. Execution contd.

Short Project Description: contd.

(3) construction of a final selection instrument(s), using experimental materials and similar new materials as needed to support the criterion measures;

(4) revision of job descriptions, knowledge, skills or abilities statements, and minimum requirements, based on above, and construction of recruitment materials;

(5) development of forms and procedures, manual and EDP, for continuous maintenance and evaluation of recruitment and testing in the area, and turnover to Examinations Division.

Staffing: A project team of three persons, at a journeyman or higher level of competence, will be selected from present Examinations Division staff, and relieved of all other responsibilities, i.e., placed on leave from their present jobs, for up to two years, the expected duration of the project. Their regular positions will b filled by new personnel during the life of the project.

Support: The team will report directly to the Staff Services Section of the Division, a section responsible for general research, manual and EDP systems, training, and ethnic research.

Technical and clerical support will be provided by Staff Services Section.

The staff of the Section is:

Chief Personnel Examiner

Principal Personnel Examiner

Director of Ethnic Research

2 Associate Personnel Examiners

2 Senior Personnel Examiners

2 Clerical

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6. Approach and Timetable contd.

b. Execution contd.

Support: contd.

Data processing will use the IBM 360 configuration of the State Office of General Services; in addition to the computerized examination scoring and ethnic information retrieval systems, the general IBM Scientific Subroutine Package is fully available--modifications and additional programs will be provided by Staff Services Section programmers.

(The presently operating ethnic information system involves both surveys of present employees, and questionnaires to examination candidates for their voluntary ethnic identification; statistical analysis of examination results by ethnic group is regularly produced.)

Project Phases and Time Schedule

1. Job analysis of a sample of positions, and development of job performance criteria and corresponding selection methods. Time: 1 year

(a) Contact interested publics (NYS Correction Dept., American Correcti Association, employee groups, minority groups, academic and general community organizations) and solicit nominations of technical advisors. Time: 1 month

(b) Contact nominees and form committees of persons familiar with work and standards in the Correction occupational area. Time: 2 months

(c) Work with committees to prepare selection devices corresponding to each identified job element and its performance criterion; presently used test materials will be used as hypotheses, and job audits and field experiments will be started very early, to insure operational definition of objectives at both the performance criterion and selection levels. An attempt will be made to cover each job element with more than one type of selection device.

Project Phases and Time Schedule cont'd.

1. (c) (For example, a written test vs an oral test; or a written test vs a training and experience evaluation) Time: 9 months

At first, team members will concentrate on retrieval and analysis of stored data on previous uses, in the regular examination program, of materials reviewed by the committees. The Examinations Division maintains a computer tape file of examination scores by subtest, the test equivalent of a job element. Data can be retrieved by Examination number, by Social Security number, or by subtest number.

Once past this review, team members will spend their time primarily on work with the committees, audit of jobs, and pretest of the practicality of the performance criterion and selection methods developed; each performance criterion and its corresponding predictor can be pretested separately or in combination with others as convenient and economic. Criterion measures will be subjected to the same types of evaluation as the selection devices, i.e., internal logical consistency and reliability. Where performance ratings are used, two, by the Sergeant and the Lieutenant on his shift, will be obtained for each Officer, and used to help establish relevance and reliability.

Gathering of performance ratings and personal histories through interview of present employees has already begun, as part of a smaller project to evaluate T & E as a selection device, a suggestion of the U. S. Civil Service Commission staff. This effort will be absorbed into the proposed project.

The team will be able to call on the resources of the Division for job audits and data analysis, including programming support.

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6. Approach and Timetable contd.

Project Phase and Time Schedule contd.

2. Construction of experimental performance rating and test instruments, and their administration and analysis. Time: 6 months

(a) Performance rating scales, behavior check lists and productivity standards for all job elements with measurable performance variations, discovered in Phase 1, will be combined in an experimental battery.

(b) The combined performance, or criterion, measures will be matched by the selection materials which proved out in Phase 1.

(c) The performance and selection measures will be administered to an experimental sample, drawn largely from our employees and trainees -- this sample will be designed to assess, as possible, direct and interaction effects of variables as region, age, sex, and race on the main variables. Not all of the performance and selection measures need be applied to each person, but enough persons will be included to support correlation analysis among all measures. Analysis will use computer programs already available in the Examinations Division (largely correlation analysis), and the Division will supply new programs where needed (analysis of variance).

3. The best combination of criterion-selection measures, as determined in the cross-validation experiment, will be combined into one or more selection devices. Time: 2 months

4. As a result of the process to this point, job descriptions will be drafted; announcements of examinations will be prepared, formalizing decisions on selection method and most appropriate administrative procedure (e.g., continuous recruitment, regularly scheduled testing, OC vs Promotion); a recruitment campaign will be planned, and any special materials (ads, brochures) prepared. Time: 2 months

Project Phases and Time Schedule contd.

5. Documentation of the system will be completed, and, together with all records and test materials will be turned over to the Examinations Division; this will include automated procedures for continuous feedback of performance data on persons selected, collation with examination data, and the capability to analyze the two kinds of information in this master file on demand through Examinations Division computer programs. The data should be of use in planning and evaluating training and other examinations as the study subjects or candidates move up the Correction series. Time: 2 months

Depending on the evaluation of the project, the team members will either return to their regular positions, or will each work as lead member of a team to apply the method to additional occupational areas. Total project time is two years, beginning as soon as funds are available.

7. Project Evaluation

The project will be evaluated by the extent to which the criterion and selection measures meet standard statistical tests of internal consistency and expected relation to other variables; the evaluation will use results achieved with presently available test materials and performance data as a base line against which to compare the new materials produced.

It is our recent practice, in the validation system, to get multiple measures of a given performance element, and to compare, through component analysis, the obtained structure with an expected structure and that of corresponding test or other selection methods; this method supplements and informs the usual reliability measures and criterion-test relations.

Since the job element-selection element pair is the analysis unit, the evaluation will be continuous during the life of the project, i.e., each instrument can be administered and analyzed independently, and need not wait for completion

of the entire performance rating and selection package. It is expected that the project team will have a number of these pairs in various stages of development throughout the project, particularly the first year.

The analysis of the combined selection system will be the critical evaluation point for the project; previous conclusions about selection methods and their relation to one another will be cross-validated on that data.

PL. EXH. 43-DESCRIPTIVE MATERIAL AND DOCUMENTS
SUBMITTED PURSUANT TO AGREEMENT BETWEEN THE ATTORNEYS

UNITED STATES DISTRICT COURT
SOUTHERN DISTRICT OF NEW YORK

EDWARD L. KIMLAND, et al.,

Plaintiffs,

-v- : 73 Civ. 1548

THE NEW YORK STATE DEPARTMENT OF CORRECTIONAL SERVICES, et al.,

Defendants.

DESCRIPTIVE MATERIAL AND DOCUMENTS SUBMITTED PURSUANT TO AGREEMENT BETWEEN THE ATTORNEYS.

1. The class specifications for the Correction Officer series, effective July, 1956 (Exhibit "1B"), June, 1962 (Exhibit "2B"), March, 1964 (Exhibit "3B"), June, 1967 (Exhibit "4B") and September, 1971 (Exhibit "5B").

The information and documentation set forth herein are provided pursuant to agreement between the attorneys for the parties made on or about July 3, 1973, whereby defendants agreed to provide the information herein and plaintiffs agreed to withdraw their motion to compel answers to certain of plaintiffs' first interrogatories. The essentials of the agreement are set forth in the letter of Morris Baller, Esq., to Judith Gordon, Esq., dated July 3, 1973, except that defendants did not agree to the following statements appearing therein pertaining to this matter: (1) The period for which class specifications were to be produced was left to the discretion of defendants' attorney. Plaintiffs' attorneys were advised that they could have access to the classification and compensation records of the Department of Civil Service which contain class specifications and supporting data. (2) Correction Sergeants' examinations were to be briefly described back to approximately 1964-1965. No K S & A statements were to be provided. (3) It was not agreed that the materials provided were proper for discovery in this action.

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2. Correction Sergeant examinations between 1964 and 1972 may be briefly described as follows:

No. 34-007 - April 2, 1972

a. 90 multiple choice questions.

b. Laws, Rules, Regulations Governing the Administration of the Department of Corrections Institutions (30 items); Modern Correctional Methods and Practices (15 items); Using Good Judgment in the Correctional Field (15 items); Understanding and Interpreting Written Material (15 items); Principles and Practices of Supervision (15 items).

No. 32-915 - January 18, 1968

a. 90 multiple choice questions.

b. Laws, Rules, and Regulations Governing the Administration of the Department of Correction institutions (30 items); Modern Correctional Methods and Practices (15 items); Using Good Judgment in the Correctional Field (15 items); Principles and Practices of Supervision (15 items); Understanding and Interpreting Written Material (15 items).

No. 1439 - October 17, 1964

a. 75 multiple choice questions.

b. Knowledge of Laws, Rules and Regulations for Administration of Department of Corrections (15 items); Knowledge of Modern Correctional Methods and Practices, and Ability to Use Good Judgment in the Correctional Field (15 items); Knowledge, Principles and Practices of Administrative Supervisor (15 items); Ability to Read and Interpret Written Material (15 items); Ability to Prepare Written Reports (15 items).

3. Upon information and belief, at all times relevant herein prior to August 1, 1972, examinations for the Correction Officer series were prepared and conducted by Testing

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4 of the Division of Examinations. On or about July 1, 1972, as part of a reorganization within the Department of Civil Service, the Division of Examinations was retitled the Division of Examinations and Staffing Services. On or about August 1, 1972, the responsibility for the Correction Officer series was transferred to the Selection Process Validation Section.

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TENTATIVE SPECIFICATIONS - NEW YORK STATE CIVIL SERVICE DEPARTMENT

Prison Custodial Series

Prison Guard, Grade 11
Sergeant, Grade 15
Lieutenant, Grade 18
Captain, Grade 20
Assistant Principal Keeper, Grade 22
Principal Keeper or (Assistant Superintendent)
Grade 25
Warden or (Superintendent)*
Kitchenkeeper, Grade 15

These employees are responsible for the custody and supervision of male inmates in a State prison or reformatory, except for Kitchenkeeper, supervision over each class is received from the next higher grade in the series. Differences in titles and salaries between the classes within this series are based primarily on supervisory and administrative duties and responsibilities. These positions are open to men only.

Positions which perform custodial work for other types of patient or inmate populations are classified in the Matron Series 8233; this Criminal Hospital Ward Service Series 6716, the Attendant Series 5540; the Colony Supervisor Series 5551; and the Children's Supervisor Series 8262.

PRISON GUARD has immediate supervision over inmates in cells, shops, and wards, at meals and at work, maintaining discipline, supervising work squads, preventing escapes, and guarding against injury to persons and property, takes periodic counts of inmates, examines contents of vehicles entering or leaving gates; helps locate escaped inmates; reports at intervals to superior officers. He ordinarily exercises no formal supervision over other employees and all duties are performed under supervision from a custodial officer of higher rank. QUALIFICATION: Candidates must be high school graduates between the ages of 21 and 35 and must be free from any disabling mental or physical defect and in addition must be 5' 8" tall and weigh at least 155 pounds.

SERGEANT supervises a group of Prison Guards on an assigned shift in a subdivision of a prison or reformatory; assigns guards to posts of duty; gives orders and instructions to the guards; inspects the departments of the prison such as the cell blocks, assembly halls, shops and yard; takes precautions to prevent disturbances and escapes; participate in the rehabilitation of prisoners, prepares daily reports to his superior officers. A Sargeant performs all duties under the supervision of a higher ranking custodial officer, but handles emergency situations and individual problems as they arise. QUALIFICATIONS: Two years of permanent service as Prison Guard.

* The salaries of Warden and Superintendent are established by the Correction Law.

LIEUTENANT either (1) supervises the entire guard service on an assigned shift in a reformatory or a moderate sized prison, or (2) in a large prison is responsible for the custodial service in a subdivision of the institution on an assigned shift. The duties are similar to those of Sergeant but include greater supervisory responsibility and participation in the training courses for new Prison Guards. In reformatories or moderate sized prisons, Lieutenants are under the supervision of the Principal Keeper or Superintendent, while in large prisons they work under the direction of the Captain who is in charge of the shift throughout the institution. QUALIFICATIONS: One year of permanent service as Sergeant, or Kitchenkeep

CAPTAIN either (1) supervises the entire guard service on an assigned shift in a large prison, or (2) in a reformatory or smaller prison assists the Assistant Superintendent or Principal Keeper in the administration of the guard services in addition to supervising one shift. A Captain performs duties similar to Lieutenants, and in addition schedules the assignments of Lieutenarts, Sergeants and Prison Guards, and in the smaller institutions, where there is no Assistant Principal Keeper, sees that buildings and equipment are properly maintained and acts as Principal Keeper in his absence. In a large prison the Captain is responsible to the Principal Keeper; in a smaller institution, the position includes administrative responsibilities as assistant to the officer in charge of the entire custodial service. QUALIFICATIONS: One year of permanent service as Lieutenant.

ASSISTANT PRINCIPAL KEEPER is the assistant to the Principal Keeper of a prison in administering the system of custodial care of inmates; assigns all officers and guards to their duties, reports violations of rules to the Principal Keeper, keeps time records, has charge of the morning and evening roll call, has charge of the armory, inspects firearms, sees that buildings and equipment are properly maintained and that the security, well-being, and discipline of the inmates are preserved. He assumes the duties of the Principal Keeper in his absence. The Assistant Principal Keeper is subject to the direction of the Principal Keeper or the Warden. The work involves extensive supervisory responsibility over the entire staff of officers and guards. QUALIFICATIONS: Two years of permanent service as Lieutenant or one year of permanent service as Captain.

A PRINCIPAL KEEPER at a prison or an Assistant Superintendent at a correction institution plans and directs the entire system of custodial care of inmates; coordinates institution activities in order to maintain safe custody and order; develops and directs a disciplinary program, designed to meet individual needs and to further the corrective influence of the institution; makes frequent inspections of all divisions to see that the policies, rules, and regulations of the department and institution are carried out; supervises the training of new employees and assumes the full duties of the Warden or Superintendent during his absence. An incumbent has full control over and responsibility for the guard service and custodial care of inmates subject to the approval of his superior and the rules and regulations of the Department of Correction. QUALIFICATIONS: Two years of permanent service as Captain, or one year of permanent service as Assistant Principal Keeper.

A WARDEN in a prison, or a Superintendent in a Correction Institution is the Chief Executive Officer; prescribes theru les and regulations of the institution within the limits of general policies and regulations of the Commissioner of Correction;

maintains corrective treatment program; assigns and reviews the work of department heads, such as vocational training, industries, farm and plant maintenance, business management, education, and kitchens; performs inspections to see that the institution is maintained efficiently. Supervision is received through submission of periodic reports and conferences with the Commissioner of Correction. QUALIFICATIONS: Three years of permanent service as Assistant Principal Keeper, or one year of permanent service as Principal Keeper or Assistant Superintendent.

KITCHENKEEPER supervises the preparation and service of food and the custody of inmates employed in the kitchen work in a penal institution: requisitions and rations food and inspects it before, during, and after preparation; plans menus; estimates food requirements; instructs employees and inmates in cooking; maintains records of food and kitchen supplies and equipment; supervises the bake shop and the butcher shop, and may supervise the pasteurization of milk and canning of vegetables for institution use. The Warden or Principal Keeper reviews the Kitchenkeeper.s work through inspection and report analysis, while the Institution Steward reviews the cost of operation. The Kitchenkeeper has direct supervision over from two to six civilian kitchen employees, 50 to 150 inmates assigned to kitchen work, and two to four Prison Guards. QUALIFICATIONS: Two years of permanent service as Prison Guard, or one year as a Head Cook.

TENTATIVE SPECIFICATIONS - NEW YORK STATE DEPARTMENT OF CIVIL SERVICE

CORRECTION OFFICER SERIES

Correction Officer, Grade 11
Correction Sergeant, Grade 15
Correction Lieutenant, Grade 18
Correction Captain, Grade 20
Asisstant Deputy Warden, Grade 22
Correction Assistant Deputy Superintendent, Grade 22
Deputy Warden, Grade 25
Correction Deputy Superintendent, Grade 25
Warden, 08
Correction Superintendent, 08

Employees in this series maintain custody and security at State prisons and reformatories for rules, are responsible for the general care and well-being of the inmates, and contribute toward inmate rehabilitation. Normally, employees in any one class in the series are supervised by employees in the next higher class. Positions in this series are open to men only.

Positions involving custody of other types of inmates or custodial care of mentally ill or retarded patients are classified in the Women.s Correction Officer Series 8233; Correction Hospital Ward Service Series 8716; Correction Youth Camp Series 8723; Attendant Series 5540; Colony Supervisor Series 5551; or Cottage Program Series 8263.

CORRECTION OFFICER under supervision from a custodial officer of higher rank, maintains custody of inmates at a prison or reformatory; has direct custody of inmates in cells, recreation yards, mess halls, and other areas; helps instill proper attitudes in inmates, refers inmates' needs or problems to supervisory custodial officers or appropriate staff specialists, and otherwise contributes toward inmate rehabilitation; oversees inmate work squads inside and outside the institution; mans guard towers, gates, and other security parts; takes periodic counts of inmates; may prepare pre-parole or other reports on inmates; escorts inmates to other prisons, to courts, or elsewhere as needed; searches for escaped inmates; guards against injury to inmates, employees, and others, and against damage to property. QUALIFICATIONS: High school graduation or a satisfactory equivalent in training or experience. In addition, candidates must be at least 21 but less than 37 years old, must be free from any disabling mental or physical defect, and must be at least 5' 8" tall and weigh at least 150 pounds.

CORRECTION SARGEANT under direction from higher level custodial officers, is responsible for custody, security, and the general well-being of inmates, usually in an assigned area of a prison or reformatory; assigns Correction Officers to posts of duty, and enforces proper performance of duties; makes rounds, through assigned area, overgoing security procedures, inspecting sanitary conditions, checking for potential fire and accident hazards, and advicing Correction Officers on duty; cooperates with non-custodial employees in his assigned area as needed; takes precautions to prevent disturbances and escapes; takes periodic counts of inmates; prepares daily reports to superior officers; participates in inmate rehabilitation; oversees meals and general movements of the inmate population; escorts inmates to other prisons, to courts, or elsewhere if needed; may be responsible for specific functions such as the preparation of custodial assignment charge or supervision of the arsenal, or rifle range, may be second in charge of the institution, under a Correction Lieutenant, on a night shift. QUALIFICATIONS: Three years of permanent service as Correction Officer or Correction Youth Camp Officer.

CORRECTION LIEUTENANT is in charge of a prison or reformatory on a night shift; makes sure all security posts are covered during the shift, making reassignments as needed to provide proper coverage; makes periodic rounds of the institution; oversees inmate activities during the shift; deals with emergency situations such as inmate illnesses or suicide attempts; takes periodic counts of inmates; provides training to Correction Officers assigned to the shift for that purpose; submits reports on inmate counts and other activities occurring during the shift; assists in the opening of the institution in the morning or in its closing in the evening; assists in supervising the morning or evening meal; may perform supervisory or administrative custodial duties on the day shift under general direction from higher ranking custodial officers; may be in charge of the prison or reformatory on the day shift under unusual circumstances. QUALIFICATIONS: Permanent service either for one year as Correction Sergeant, or for two years as Correction Youth Camp Assistant Supervisor plus three additional years as Correction Officer.

CORRECTION CAPTAIN: under direction from higher level custodial officers, supervises custody, security, and the general well-being of the inmates at a prison or reformatory; assigns and supervises Correction Lieutenants, Correction Sargeants, and Correction Officers; makes inspections throughout the institution; serves on institution boards and committees such as the assignment and commutation boards; may be responsible for specific functions such as the investigation of accidents and other irregularities, preparation of custodial assignment charts, developing of escape and other emergency procedures, formulation of custodial staff training programs, or the supervision of special units such as the hospital. The Correction Captain at each prison or reformatory normally alternates with the Deputy Warden or Correction Deputy Superintendent in covering either the early or the late day shift, on those days when both officers are on duty. On the early day shift, he would supervise the official opening of the institution, and on the late day shift, its official closing. In addition, he usually alternates with the same officer in having charge of the institution on weekends. QUALIFICATIONS: Permanent service either for one year as Correction Lieutenant; or for two years as Correction Sergeant; or for two years as Correction Youth Camp Assistant Supervisor plus one additional year as Correction Sergeant.

ASSISTANT DEPUTY WARDEN at a prison, performs duties generally similar to those of a Correction Captain, but serves as a more immediate assistant to the Deputy Warden and assumes the latter's duties during his absence. QUALIFICATIONS: Permanent service either for one year as Correction Captain or for two years as Correction Lieutenant; or for one year as Correction Youth Camp Supervisor plus two additional years as Correction Sergeant.

CORRECTION ASSISTANT DEPUTY SUPERINTENDENT at a reformatory, performs duties similar to those of an Assistant Deputy Warden. QUALIFICATIONS: Permanent service either for one year as Correction Captain; or for two years as Correction Lieutenant; or for one year as Correction Youth Camp Supervisor plus two additional years as Correction Sergeant.

DEPUTY WARDEN under direction from the Warden, is responsible for immediate supervision of the custodial and security program of a prison, and for the general care and well-being of the inmates; acts as immediate head of the custodial staff; enforces departmental and institutional policies, rules, and regulations throughout the prison; coordinates custodial activities with other prison programs; makes inspections throughout the prison to observe the custodial and security program, factors affecting the well-being of the inmates such as food service and sanitation,

and the condition of the physical plant; serves as chairman of prison boards and administers such as the assignment and commutation boards; conducts an inmate disciplinary program designed to further security and inmate rehabilitation, and serves as head of the disciplinary court; supervises new inmates and deals with special problems and complaints; reviews individual inmate work assignments, with particular emphasis on security; reviews reports and other communications from subordinate custodial officers and from responsible non-custodial employees; confers with the Warden on all prison matters, serves as big general assistant, and assumes the Warden's duties during his absence. QUALIFICATIONS: Permanent service either for one year as Assistant Deputy Warden or Correction Assistant Deputy Superintendent; or for two years as Correction Captain; or for two years as Correction Youth Camp Supervisor plus two additional years as Correction Sergeant.

CORRECTION DEPUTY SUPERINTENDENT at a reformatory, performs duties similar to those of a Deputy Warden. QUALIFICATIONS: Permanent service either for one year as Assistant Deputy Warden or Correction Assistant Deputy Superintendent; or for two years as Correction Captain or for two years as Correction Youth Camp Supervisor plus two additional years as Correction Sergeant.

WARDEN serves as chief executive officer of a prison; prescribes the rules and regulations of the prison within the limits of general policies and regulations of the Commissioner of Correction; is responsible for the general security of the prison, and for the overall operation; maintains comprehensive programs of inmate custody, treatment, and rehabilitation; assigns and reviews the work of the heads of the education, business management, food service, and other prison departments; makes inspections throughout the prison; submits frequent reports to, and confers periodically with, the Commissioner of Correction. QUALIFICATIONS: Permanent service either for one year as Deputy Warden, Correction Deputy Superintendent, Assistant Director of Correction Reception Center, Director of Education, or Director of Correctional Guidance; or for three years as Assistant Deputy Warden, Correction Assistant Deputy Superintendent; Assistant Director, General Education, or Assistant Director, Vocational Education.

CORRECTION SUPERINTENDENT serves as chief executive officer of a reformatory, performing duties substantially similar to those of a Warden of a prison. QUALIFICATIONS: Permanent service either for one year as Deputy Warden, Correction Deputy Superintendent, Assistant Director of Correction Reception Center, Director of Education, or Director of Correctional Guidance; or for three years as Assistant Deputy Warden, Correction Assistant Deputy Superintendent, Assistant Director, General Education, or Assistant Director, Vocational Education.

SPECIFICATIONS--NEW YORK STATE DEPARTMENT OF CIVIL SERVICE

CORRECTION OFFICER SERIES

Correction Officer, Grade 11
Correction Sergeant, Grade 15
Correction Lieutenant, Grade 18
Correction Captain, Grade 20
Assistant Deputy Warden, Grade 22
Correction Assistant Deputy Superintendent, Grade 22
Deputy Warden, Grade 25
Correction Deputy Superintendent, Grade 25
Warden, 08
Correction Superintendent, 08

Employees in this series maintain custody and security at State prisons and reformatories, are responsible for the general care and well-being of the inmates, and coordinate inmate rehabilitation. Normally, employees in any one class in the series are supervised by employees in the next higher class. Appointments are made from separate eligible lists, for men and women, according to the sex of the inmates committed to a particular institution.

Positions involving custody of other types of inmates or custodial care of mentally ill or retarded patients are classified in the Correction Hospital Ward Service Series 8716; Correction Youth Camp Series 8725; Attendant Series 5540; Colony Supervisor Series 5554; or Cottage Program Series 8263.

Correction officers under the supervision from a custodial officer of higher rank have direct custody of inmates at a prison or reformatory: [illegible] cells, recreation yards, mess halls, and other areas; observes and reports inmates' [illegible] condition affecting inmate well-being or the general security of the institution; helps instill proper attitudes in inmates, refers inmates' needs or problems to supervisory custodial authorities or appropriate staff specialists, and otherwise contributes toward inmate rehabilitation; oversees inmate work squads inside or outside the institution; mans guard towers, gates, and other security posts; makes [illegible] reports of inmates; may prepare pre-parole or other reports on inmates; escorts inmates to other prisons, to courts, or elsewhere as needed; searches for escaped inmates; protects inmates, employees, and others and against damage to property.

[illegible] high school graduation or possession of a high school equivalency diploma issued by the New York State Education Department; in addition, appointees must [illegible] years old, at least 5' 8" in bare feet, weigh at least [illegible] pounds, have vision not poorer than 20/40 in each eye without corrective [illegible] without use of a hearing aid, and be free from any [illegible] or physical defect.

Women: High school graduation or possession of a high school equivalency diploma issued by the New York State Education Department; in addition, appointees must be at least 21 but less than 45 years old, at least 5' 2" [illegible] pounds, have vision not poorer than 20/40 in each eye [illegible] without use of a hearing aid, and [illegible] from any [illegible] or physical defect.

[illegible] custodial officers, is [illegible] inmates, usually in an [illegible] officers to posts of duty,

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...enforces proper performance of duties; makes ... through assigned area, overseeing security procedures, inspecting sanitary conditions, looking for potential fire and accident hazards, and advising Correction Officer ... daily; cooperates with non-custodial employees in his assigned area as needed; takes precautions to prevent disturbances and escapes; takes periodic counts of inmates; prepares daily reports to superior officers; participates in inmate rehabilitation; oversees meals and general movements of the inmate population; escorts inmates to other prisons, to courts, or elsewhere as needed; may be responsible for specific functions such as the preparation of custodial assignment charts or supervision of the arsenal or rifle range; may be second in charge of the institution, under a Correction Lieutenant, on a night shift. QUALIFICATIONS: Three years of permanent service as Correction Officer.

CORRECTION LIEUTENANT is in charge of a prison or reformatory on a night shift: makes sure all security posts are covered during the shift, making reassignments as needed to provide proper coverage; makes periodic rounds of the institution; oversees inmate activities during the shift; deals with emergency situation such as inmate illnesses or suicide attempts; takes periodic counts of inmates; provides training to Correction Officers assigned to the shift for that purpose; submits reports on inmate counts and other activities occurring during the shift; assists in the opening of the institutions in the morning or in its closing in the evening; assists in supervising the morning or evening meal; may perform supervisory or administrative custodial duties on the day shift under general direction from higher ranking custodial officers; may be in charge of the prison or reformatory on the day shift under unusual circumstances. QUALIFICATIONS: Permanent service for one year as Correction Sergeant.

CORRECTION CAPTAIN under direction from higher level custodial officers, supervises custody, security, and the general well-being of the inmates at a prison or reformatory: assigns and supervises Correction Lieutenants, Correction Sergeants, and Correction Officers; makes inspections throughout the institution; serves on institution boards and committees such as the assignment and commutation boards; may be responsible for specific functions such as the investigation of accidents and other irregularities, preparation of custodial assignment charts, developing of escape and other emergency procedures, formulation of custodial staff training programs, or the supervision of special units such as the hospital. The Correction Captain at each prison or reformatory normally alternates with the Deputy Warden or Correction Deputy Superintendent in covering either the early or the late day shift, on those days when both officers are on duty. On the early day shift, he would supervise the official opening of the institution, and on the late day shift, its official closing. QUALIFICATIONS: Permanent service for one year as Correction Lieutenant.

ASSISTANT DEPUTY WARDEN at a prison, performs duties generally similar to those of a Correction Captain and serves as a more immediate assistant to the Deputy Warden and assumes the latter's duties during his absence. In addition, alternates with the Deputy Warden in having responsible charge of the institution on weekends and holidays. QUALIFICATIONS: Permanent service for one year as Correction Captain.

CORRECTION ASSISTANT DEPUTY SUPERINTENDENT at a reformatory performs duties similar to those of an Assistant Deputy Warden. QUALIFICATIONS: Permanent service for one year as Correction Captain.

DEPUTY WARDEN under direction from the Warden, is responsible for immediate supervision of the custodial and security program of a prison, and for the general care and well-being of the inmates: acts as immediate head of the custodial staff; enforces departmental and institutional policies, rules, and regulations throughout the prison; coordinates custodial activities with other prison programs; makes inspections

...out the prison to observe the custodial and security program, factors affecting ...well-being of the inmates such as food service and sanitation, and the condition of ...physical plant; serves as chairman of prison boards and committees such as the ...ssignment and classification boards; conducts an inmate disciplinary program designed to ...further security and inmate rehabilitation, and serves as head of the disciplinary ...court. Interviews new inmates and those with special problems and complaints; reviews ...individual inmate work assignments, with particular emphasis on security; reviews ...reports and other communications from subordinate custodial officers and from responsible non-custodial employees; confers with the Warden on all prison matters, serves as ...general assistant, and assumes the Warden's duties during his absence. Alternates ...with the Assistant Deputy Warden in having responsible charge of the institution on ...weekends and holidays. QUALIFICATIONS: Permanent service for one year as Assistant ...Deputy Warden or Correction Assistant Deputy Superintendent.

CORRECTION DEPUTY SUPERINTENDENT at a reformatory, performs duties similar to those of a Deputy Warden. QUALIFICATIONS: Permanent service either for one year as Assistant Deputy Warden or Correction Assistant Deputy Superintendent.

WARDEN serves as chief executive officer of a prison: prescribes the rules and regulations of the prison within the limits of general policies and regulations of the Commissioner of Correction; is responsible for the general security of the prison, and for its over-all operation; maintains comprehensive programs of inmate ...training, treatment, and rehabilitation; assigns and reviews the work of the heads of ...education, business management, food service, and other prison departments; makes ...inspections throughout the prison; submits frequent reports to, and confers periodically with the Commissioner of Correction. QUALIFICATIONS: Permanent service either for one year as Deputy Warden or Correction Deputy Superintendent.

CORRECTION SUPERINTENDENT serves as chief executive officer of a reformatory, ...having duties substantially similar to those of a Warden of a prison. QUALIFICATIONS: Permanent service either for one year as Deputy Warden or Correction Deputy Superintendent.

SPECIFICATIONS--NEW YORK STATE DEPARTMENT OF CIVIL SERVICE

CORRECTION OFFICER SERIES

Correction Officer, Grade 12
Correction Sergeant, Grade 15
Correction Lieutenant, Grade 18
Correction Captain, Grade 20
Assistant Deputy Warden, Grade 22
Correction Assistant Deputy Superintendent, Grade 22
Deputy Warden, Grade 25
Correction Deputy Superintendent, Grade 25
Warden, 08
Correction Superintendent, 08

Employees in this series maintain custody and security at State prisons and reformatories, are responsible for the general care and well-being of the inmates, and contribute toward inmate rehabilitation. Normally, employees in any one class in the series are supervised by employees in the next higher class. Appointments are made from separate eligible lists, for men and women, according to the sex of the inmates committed to a particular institution.

Positions involving custody of other types of inmates or custodial care of mentally ill or retarded patients are classified in the Correction Hospital Ward Service Series 8706; Correction Youth Camp Series 8723; Attendant Series 5540; Colony Supervisor Series 5951; or Cottage Program Series 8263.

CORRECTION OFFICER under the supervision from a custodial officer of higher rank, maintains custody of inmates at a prison or reformatory: has direct custody of inmates in cells, recreation yards, mess halls, and other areas; observes and reports as needed, conditions affecting inmate well-being or the general security of the institution; helps instill proper attitudes in inmates, refers inmates' needs or problems to supervisory custodial authorities or appropriate staff specialists, and otherwise contributes toward inmate rehabilitation; oversees inmate work squads inside and outside the institution; mans guard towers, gates, and other security posts; makes periodic counts of inmates; may prepare pre-parole or other reports on inmates; escorts inmates to other prisons, to courts, or elsewhere as needed; searches for escaped inmates; guards against injury to inmates, employees, and others and against damage to property. QUALIFICATIONS: Men: High school graduation or possession of a high school equivalency diploma issued by the New York State Education Department; in addition, appointees must be at least 21 but less than 37 years old, at least 5' 8" in bare feet, weigh at least 150 pounds stripped, have vision not poorer than 20/40 in each eye without corrective lenses, have satisfactory hearing without use of a hearing aid, and be free from any disabling mental or physical defect. Women: High school graduation or possession of a high school equivalency diploma issued by the New York State Education Department; in addition, appointees must be at least 21 but less than 46 years old, at least 5' 2" in bare feet, weigh at least 115 pounds, have vision not poorer than 20/40 in each eye without corrective lenses, have satisfactory hearing without use of a hearing aid, and be free from any disabling mental or physical defect.

CORRECTION SERGEANT under direction from higher level custodial officers, is responsible for custody, security, and the general well-being of inmates, usually in an assigned area of a prison or reformatory: assigns Correction Officers to posts of duty,

...of duties; makes rounds through assigned area, observe... ...security conditions, checking for potential fire ... Correction Officers on duty; cooperates with law... ...in his assigned area as needed; takes precaution to prevent ...; takes periodic counts of inmates; prepares daily reports to ... participation in inmate rehabilitation; oversees mails and general ... inmate population; escorts inmates to other prisons, to courts, or ... may be responsible for specific functions such as the preparation ... assignment charts or supervision of the armorer or rifle range; may be ... of the institution, under a Correction Lieutenant, on a night shift. QUALIFICATIONS: Three years of permanent service as Correction Officer.

CORRECTION LIEUTENANT is in charge of a prison or reformatory on a night shift: ... that all security posts are covered during the shift, making reassignments as needed to provide proper coverage; makes periodic rounds of the institution; oversees inmate ... during the shift; deals with emergency situation such as ... illnesses or ...; takes action on daily events of inmates; provides training to Correction ... assigned to the shift for that purpose; submits reports on inmate counts and ... activities occurring during the shift; assists in the opening of the institutions ... morning or in the closing in the evening; assists in supervising the morning or ... meal; may perform supervisory or administrative custodial duties on the day ... relieving Correction ... higher ranking custodial officers; may be in charge ... prison or reformatory on the day shift under unusual circumstances. QUALIFICATIONS: ... service for one year as Correction Sergeant.

CORRECTION CAPTAIN under direction from higher level custodial officers, ... custody, discipline, and the general well-being of the inmates at a prison or ... supervises Correction Lieutenants, Correction Sergeants, and ... officers; makes inspections throughout the institution; serves on institution ... such as the assignment and commutation boards; may be responsible ... functions such as the investigation of accidents and other irregularities, ... of correctional assignment charts, developing of escape and other emergency ... formulation of custodial staff training programs, or the supervision of ... such as the hospital. The Correction Captain at each prison or reformatory ... alternates with the Deputy Warden or Correction Deputy Superintendent in ... either the early or the late day shift, on those days when both officers are ... On the early day shift, he would supervise the official opening of the ... and on the late day shift, its official closing. QUALIFICATIONS: ... service for one year as Correction Lieutenant.

... a prison, performs duties generally similar to ... Correction Captain and serves as a more immediate assistant to the Deputy ... and performs the Deputy's duties during his absence. In addition, alternates ... may be responsible charge of the institution on weekends ... QUALIFICATIONS: Permanent service for one year as Correction Captain.

... at a reformatory performs duties ... Deputy Warden. QUALIFICATIONS: Permanent service for ... Correction ...

... Warden, is responsible for immediate ... prison, and for the general ... head of the custodial staff; ... throughout the ... inspections ...

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throughout the prison to observe the custodial and security program, factors affecting the well-being of the inmates such as food service and sanitation, and the condition of the physical plant; serves as chairman of prison boards and committees such as the assignment and commutation boards; conducts an inmate disciplinary program designed to further security and inmate rehabilitation, and serves as head of the disciplinary court; interviews new inmates and those with special problems and complaints; reviews individual inmate work assignments, with particular emphasis on security; reviews reports and other communications from subordinate custodial officers and from responsible non-custodial employees; confers with the Warden on all prison matters, serves as his general assistant, and assumes the Warden's duties during his absence. Alternates with the Assistant Deputy Warden in having responsible charge of the institution on weekends and holidays. QUALIFICATIONS: Permanent service for one year as Assistant Deputy Warden or Correction Assistant Deputy Superintendent.

CORRECTION DEPUTY SUPERINTENDENT at a reformatory, performs duties similar to those of a Deputy Warden. QUALIFICATIONS: Permanent service either for one year as Assistant Deputy Warden or Correction Assistant Deputy Superintendent.

WARDEN serves as chief executive officer of a prison: prescribes the rules and regulations of the prison within the limits of general policies and regulations of the Commissioner of Correction; is responsible for the general security of the prison, and for its over-all operation; maintains comprehensive programs of inmate custody, treatment, and rehabilitation; assigns and reviews the work of the heads of the education, business management, food service, and other prison departments; makes inspections throughout the prison; submits frequent reports to, and confers periodically with, the Commissioner of Correction. QUALIFICATIONS: Permanent service either for one year as Deputy Warden or Correction Deputy Superintendent.

CORRECTION SUPERINTENDENT serves as chief executive officer of a reformatory, performing duties substantially similar to those of a Warden of a prison. QUALIFICATIONS: Permanent service either for one year as Deputy Warden or Correction Deputy Superintendent.

NEW YORK STATE DEPARTMENT OF CIVIL SERVICE

CORRECTION OFFICER SERIES

Correction Officer, Grade 13
Correction Officer (Spanish Speaking), Grade 13
Correction Sergeant, Grade 16
Correction Lieutenant, Grade 19
Correction Captain, Grade 21
Assistant Deputy Superintendent of Correctional Facility, Grade 23
Deputy Superintendent of Correctional Facility, Grade 26
Superintendent of Correctional Facility, O.S.

Employees in this series maintain custody and security at State Correctional Facilities and are responsible for the general care and well-being of the inmates, and contribute toward inmate rehabilitation. Normally, employees in any one class in the series are supervised by employees in the next higher class. Appointments are made from separate eligible lists, for men and women, according to the sex of the inmates committed to a particular facility.

Positions involving custody of other types of inmates or custodial care of mentally ill or retarded patients are classified in the Correction Hospital Male Services Series 8715; Correction Youth Camp Series 8725; Psychiatric Attendant Series 9514; and Forensic Correction Officer Series 8702.

CORRECTION OFFICER and CORRECTION OFFICER (SPANISH SPEAKING) under the supervision of a uniformed officer of a higher rank, maintains custody of inmates in a correctional facility; has direct custody of inmates in cells, [illegible] other areas; observes and reports as needed, conditions affecting inmate well-being or the general security of the institution, takes an active part in day-to-day counseling for rehabilitation, helps inmates prepare applications for parole, refers inmates' needs or problems to supervisors, custodial authorities or appropriate staff specialists; oversees inmate work squads inside and outside the institution, evaluating the performance and attitude of each inmate supervised; mans guard towers, gates, and other security posts, makes periodic counts of inmates; escorts inmates to other prisons, to court, or elsewhere as directed; searches for escaped inmates; guards against [illegible] and others and against damage to property; may [illegible] prepare reports or letters; censors mail and inmate packages; searches for contraband and does related work as required; may take [illegible] photographs of inmates, employees, and contractors.

To qualify, applicants must have graduation or possession of a high school [illegible] New York State Education Department; in addition, [illegible] not be less than 19 nor more than 37 years old, at least 5'8" in bare [illegible] have vision at least 20/40 in each eye [illegible] not more than 20/70 in each eye unaided; [illegible] free from any disabling mental [illegible] possession of a high school [illegible] New York State Education Department; in addition, [illegible] not be less than 21 nor more than 40 years old, at least 5'2" in bare [illegible] have vision at least 20/40 in each eye with or

without corrective lenses and not less than 20/70 in each eye unaided; have satisfactory hearing without use of a hearing aid; be free from any disabling mental or physical defect. CORRECTION OFFICER (SPANISH SPEAKING), in addition to meeting the foregoing qualifications, must pass a qualifying oral test designed to test, against the general background of the position, for ability to speak and understand conversational Spanish as spoken in the major Spanish-speaking areas of New York State. Male appointees must be at least 5'6" with weight proportionate to height in accordance with Department of Civil Service standards.

CORRECTION SERGEANT under direction from higher level custodial officers, is responsible for custody, security, and the general well-being of inmates, usually in an assigned area of a correctional facility: assigns Correction Officers to posts of duty, and enforces proper performance of duties; makes rounds through assigned area, overseeing security procedures, inspecting sanitary conditions, checking for potential fire and accident hazards, and advising Correction Officers on duty; cooperates with non-custodial employees in his assigned area as needed; takes precautions to prevent disturbances and escapes; takes periodic counts of inmates; prepares daily reports to superior officers; participates in inmate rehabilitation; oversees meals and general movements of the inmate population; escorts inmates to other prisons, to courts, or elsewhere as needed; may be responsible for specific functions such as the preparation of custodial assignment charts or supervision of the arsenal or rifle range; may be second in charge of the institution, under a Correction Lieutenant, on a night shift. QUALIFICATIONS: Three years of permanent competitive service in a custodial position in the Department of Correctional Services, one year of which must have been as a Correction Officer or Correction Youth Camp Officer.

CORRECTION LIEUTENANT is in charge of a correctional facility on a night shift or on the day and evening shifts assists a higher level custodial officer in supervising the custody, security and well-being of the inmates at a correctional facility: makes sure all security posts are covered during the shift, making reassignments as needed to provide proper coverage; makes periodic rounds of the institution; oversees inmate activities during the shift; deals with emergency situations such as inmate illnesses or suicide attempts; takes periodic counts of inmates; provides training to Correction Officers assigned to the shift for that purpose; submits reports on inmate counts and other activities occurring during the shift; assists in the opening of the institutions in the morning or in its closing in the evening; assists in supervising the morning or evening meal; may perform supervisory or administrative custodial duties on the day shift under general direction from higher ranking custodial officers; may be in charge of the correctional facility on the day shift under unusual circumstances. QUALIFICATIONS: One year of permanent competitive service as Correction Sergeant.

CORRECTION CAPTAIN under direction from higher level custodial officers, supervises custody, security, and the general well-being of the inmates at a correctional facility: assigns and supervises Correction Lieutenants, Correction Sergeants, and Correction Officers; makes inspections throughout the institution; serves on institution boards and committees such as the assignment and commutation boards; may be responsible for specific functions such as the investigation of accidents and other irregularities, preparation of custodial assignment charts, developing of escape and other emergency procedures, formulation of custodial staff training programs, or the supervision of special units such as the hospital.

Revised
(September 1971)

...Correction Captain at each correctional facility normally alternates with the Deputy Superintendent of Correctional Facility in covering either the early or the late day shift on those days when both officers are on duty. On the early day shift, he would supervise the official opening of the institution, and on the late day shift, its official closing. QUALIFICATIONS: One year of permanent competitive service as Correction Lieutenant.

ASSISTANT DEPUTY SUPERINTENDENT OF CORRECTIONAL FACILITY at a correctional facility, performs duties generally similar to those of a Correction Captain and serves as a more immediate assistant to the Deputy Superintendent of Correctional Facility and assumes the latter's duties during his absence. In addition, alternates with the Deputy Superintendent of Correctional Facility in having responsible charge of the institution on weekends and holidays. QUALIFICATIONS: One year of permanent competitive service as Correction Captain.

DEPUTY SUPERINTENDENT OF CORRECTIONAL FACILITY under direction from a Superintendent of Correctional Facility, is responsible for immediate supervision of the custodial and security program of a correctional facility, and for the general care and well-being of the inmates; acts as immediate head of the custodial staff; enforces departmental and institutional policies, rules, and regulations throughout the facility; coordinates custodial activities with other programs; makes inspections to observe the custodial and security program, factors affecting the well-being of the inmates such as food service and sanitation, and the condition of the physical plant; serves as chairman of boards and committees such as the Reception and Classification Boards; conducts an inmate disciplinary program designed to further security and inmate rehabilitation, and serves as head of the disciplinary court; interviews new inmates and those with special problems and counsels private individual inmates; makes work assignments, with particular emphasis on security; reviews reports and other communications from subordinate custodial officers and from supervisory non-custodial employees; confers with the Superintendent of Correctional Facility on all matters; serves as his general assistant, substituting for the Superintendent's duties during his absence. Alternates with the Assistant Deputy Superintendent in having responsible charge of the institution on weekends and holidays. QUALIFICATIONS: One year of permanent competitive service as Assistant Deputy Superintendent of Correctional Facility.

SUPERINTENDENT OF CORRECTIONAL FACILITY serves as chief executive officer of a correctional facility, prescribes the rules and regulations of the facility within the limits of general policies and regulations of the Commissioner of Correctional Services; is responsible for the general security of the facility, and for its overall operation, including comprehensive programs of inmate custody, treatment, and rehabilitation; directs and reviews the work of the heads of the various institutional units, custodial and security, business management, food service, and other prison departments; makes inspections; reviews the various reports to, and confers periodically with, the various forms of correctional workers. QUALIFICATIONS: One year of permanent competitive service as Deputy Superintendent of Correctional Facility.

STATE OF NEW YORK)
: SS.:
COUNTY OF ALBANY)

FRANCIS J. SULLIVAN, being duly sworn, deposes and says:

That he is an Associate Attorney with the New York State Department of Civil Service that he has read the foregoing Descriptive Material and Documents and knows the contents to be true except as to matters therein alleged upon information and belief and, as to these matters, he believes them to be true; that the source of your deponent's information and the basis for his belief are the books and records of the New York State Department of Civil Service and conversations with officers and employees of said Department; that the reason this verification is made by your deponent and not by a party is that the parties are public bodies and officers with no personal knowledge of the facts in issue except that obtained from the books and records of the Department and from conversations with subordinates and except as appears from the text of the answers to said interrogatories and with respect to these answers, the public officers' knowledge is specifically limited thereto.

FRANCIS J. SULLIVAN

Sworn to before me this
day of July, 1973.

Notary Public of the State of New York
My Commission Expires March 30, 197

Defendants' Exhibit A--Class Specifications for Personnel Examiner Series

[illegible] NEW YORK STATE DEPARTMENT OF CIVIL SERVICE

PERSONNEL EXAMINER SERIES

Administrative Trainee
Personnel Examiner, Grade 14
Senior Personnel Examiner, Grade 18
Senior Police Examiner, Grade 18
Senior Engineering Examiner, Grade 19
Associate Accounting Examiner, Grade 23
Associate Engineering Examiner, Grade 23
Associate Personnel Examiner, Grade 23
Principal Personnel Examiner, Grade 27
Chief Personnel Examiner, Grade 29
Director of Civil Service Examinations, Grade 34

Positions concerned with written test preparation and evaluation are included in this series. All are located in the Examinations Division of the Department of Civil Service. Their work involves the writing and analysis of test questions and answers, developing test plans and short-cut test methods. These positions work closely with the Recruitment Bureau to determine test needs and test content.

ADMINISTRATIVE TRAINEE performs beginning level work, under close and continuing supervision while participating in a one year training program, upon successful completion of which trainees are advanced to the Grade 14 level without further examination. QUALIFICATIONS: Appointments are made from the Professional Career Test by certification of candidates having a bachelor's degree. No particular specialization is required. No work experience is required, but if candidates have had one year of satisfactory professional administrative experience after college graduation, or 30 graduate hours in an appropriate field, they may be placed on a separate eligible list from which appointments may be made, following regular Civil Service procedure, directly to the Grade 14 level.

PERSONNEL EXAMINER, under immediate supervision, writes and selects questions for use in tests of basic skills and abilities or of specialized skills and knowledges; [illegible] in developing plans for written tests; writes instructions for administering written tests; assists in item analyses and makes appropriate recommendations on scoring keys; collects and organizes statistical data for use in analyses of tests and test results and makes appropriate recommendations based on findings; may rate answers to essay questions using approved rating keys and scoring standards as a guide; answers appeals from ratings of multiple-choice tests; may assist in conducting research studies of written test results. QUALIFICATIONS: One year of satisfactory permanent service as Administrative Trainee or appointment from a separate list as described above.

SENIOR PERSONNEL EXAMINER, under the direct supervision of an Associate Personnel Examiner, develops tests of basic skills and abilities or of special skills and knowledges required in one or more occupational fields or professions; personally writes one or more difficult test components and may supervise subordinates in the more routine work of the unit; assists in training lower ranking examiners and trainees; develops plans for written tests; writes and selects test materials; writes instructions for administering and rating tests which require special treatment; develops short-cut testing methods and techniques to make the most of available test materials; assists [illegible] in item analyses and in making written test content; may [illegible] and write the answers to rate difficult essay questions; performs statistical

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work as required in the analysis of written test results and make appropriate recommendations; answers appeals from ratings of written tests; may assist in conducting research studies of written tests; rakes determinations of a moderately difficult nature and advises the unit head of matters regarding the preparation of written tests; assists the Associate Personnel Examiner on special assignments, consults with him on difficult problems, and acts for him in his absence. QUALIFICATIONS: One year of permanent service as a Personnel Examiner.

SENIOR POLICE EXAMINER, under the supervision of an Associate Personnel Examiner, prepares and supervises subordinates in the preparation of examinations in police, law enforcement and correctional fields: develops, reviews and recommends test standards, and short-cut testing methods; performs and reviews item analyses and determines the final rating key; rates answers to the more difficult essay questions and free-answer questions; supervises and reviews the rating of the more routine essay questions; reviews candidates' appeals, making determinations and referring only the most difficult cases to the Associate Personnel Examiner. QUALIFICATIONS: High school graduation and three years experience as a Captain or Lieutenant in a recognized public police force having a uniformed service of fifty or more men, or as Chief or Assistant Chief in a recognized public police force with a uniformed service of at least twenty-five men. Candidates may substitute college or law school education for part of the required experience, provided they have attained at least the rank of Sergeant in a recognized police force.

SENIOR ENGINEERING EXAMINER prepares and supervises the preparation of written tests in engineering and related fields: personally carries out the more difficult assignments and supervises subordinates in the more routine ones; assists in the training of examiners of lower rank; arranges for the preparation of written tests by outside examiners and reviews their plans and the results for conformity with departmental policies and standards; rates free-answer questions; analyses and answers appeals from written tests; develops standards for written tests by the use of statistical methods and analyses; may conduct examination research studies; supervises the progress and flow of a section of the work; consults with an Associate Examiner on unusual problems or matters of policy. This work requires a high degree of independent judgment and is usually performed under the direction of an Associate Examiner to whom the incumbent is responsible for important assigned projects or for a specific division of the work. QUALIFICATIONS: Bachelor's degree in engineering and three years experience in professional engineering or in personnel examining, preferably for positions in the field of engineering.

ASSOCIATE ACCOUNTING EXAMINER, under general supervision, is responsible for the day-to-day operation and supervision of an examining unit engaged in the development of tests of basic skills, abilities and knowledges in the accounting and allied fields; is responsible for staff training and assignments and for the quality and quantity of work produced in the unit; studies the requirements of positions to determine appropriate coverage and types of written tests and to effect maximum utilization of tests and application of improved testing techniques; reviews and approves plans for written tests; supervises the writing and selection of test materials; arranges for the services of subject matter consultants; prepares and rates answers to essay questions requiring application of considerable knowledge and judgment; reviews tests and results for conformance with departmental policy; reviews the history of items included in a test to determine the need for and kind of item analyses required and studies the results to discover needs for verification or rectification of keys and items; studies distributions of raw scores on examinations and on the basis of the need of the service, recommends passing marks; consults with the Principal Personnel Examiner on unusual

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...or matters of policy and may act for the Principal in the latter's absence. ...graduation with specialization in accounting and five years' ...experience in professional accounting or in personnel examining, preferably for ...positions in the field of accounting and allied fields.

ASSOCIATE PERSONNEL EXAMINER (ENGINEERING) serves as head of an examining unit responsible for preparing written tests for positions in the field of engineering and in ...related technical fields in the State and municipal service: develops or adapts tests ...for the measurement of abilities needed for success on the job; recommends the employment of consulting examiners to assist on needed written tests for which the regular staff is not adequate; assigns, reviews and approves the work of personnel examiners of lower levels; evaluates responses to essay and completion questions whose rating requires technical knowledge and the exercise of judgment. QUALIFICATIONS: One year of permanent service as a Senior Engineering Examiner.

ASSOCIATE PERSONNEL EXAMINER, under general supervision, is responsible for the day-to-day direction and supervision of an examining unit engaged in the development of tests of basic skills and abilities or of special skills and knowledges required in one or more occupational fields or professions in State and municipal service; is responsible for staff training and assignments and for the quality and ...quantity of work produced in the unit; divides the requirements of positions to ...determine appropriate types of written tests and to effect maximum utilization of ...time and application of improved testing techniques; reviews and approves plans for ...written tests, including the validity and reflection of test materials; arranges for ...the services of subject matter consultants, instructs them in the preparation and ...rating of written tests, and reviews the tests and the results as to conformance with ...technical validity; prepares and rates answers to essay questions requiring application of considerable knowledge and judgment; analyzes and interprets the results of written ...tests by established methods in order to revise and develop standards to improve tests. ...Assists in the preparation of comparable forms of tests; answers appeals from the ...ratings of written tests or review reports prepared by subordinate examiners; conducts ...special studies of examinability; consults with the Principal Personnel Examiner on ...unusual problems or matters of policy and may act for the Principal in the latter's ...absence. QUALIFICATIONS: One year of permanent service as a Senior Personnel Examiner.

PRINCIPAL PERSONNEL EXAMINER, under the general direction of the Director, ...is responsible for planning, directing and operating the program of a Testing Section ...to insure that the needs of the Recruitment Bureau are met on schedule, requiring ...considerable and precise occupational knowledge in various fields to analyze the content ...of positions (or class of positions) and determine how the required knowledges and ...abilities may best be tested; makes decisions related to over-all test plans; advises ...Bureau representatives as to the kinds of tests to be used; identifies those basic ...skills in diverse occupations which can be tested by one rather than several test ...methods; is responsible for the preparation and review of test items and a determination of the level of difficulty, for analyses of items and the determination of ...passing keys, for summary analyses of responses to questions and the determination of the desirability of modification of key answers, for distribution summaries of ...ratings and the appropriate determinations as to score conversions, and for ratings ...studies, including research to determine test reliability and if the results ...indicate, the appropriate revisions; supervises the appraisal and development of personnel ...in the Section; as assigned by the Director, prepares operating ...procedures and reports on the application of research findings; works closely with the ...Director to insure that Bureau requirements are completed by his subordinate staff members ...and confers with Bureau representatives. QUALIFICATIONS: Five years of permanent ...service as a Senior Personnel Examiner.

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CHIEF PERSONNEL EXAMINER, under the general direction of the Director of Civil Service Examinations, is responsible for the operation of a testing section: coordinates the activities of the section; assigns personnel and work load so that the needs of the Recruitment Bureau are met according to scheduled due dates; maintains operational and summary reports and consults with staff on unusual problems not requiring the attention of the Director of Civil Service Examinations; substitutes for the Director in his absence. QUALIFICATIONS: Two years of permanent service as a Principal Personnel Examiner.

DIRECTOR OF CIVIL SERVICE EXAMINATIONS plans, develops, directs and executes all activities of the Test Development Bureau: assigns and directs the work of the technical and non-technical staff of the Bureau; is responsible for the preparation and analysis of written tests; plans and directs special studies and research for improvement of examining materials, techniques and procedures; directs and coordinates the activities of the Test Development Section; assigns personnel and work load so that materials are provided according to scheduled due dates sufficiently in advance of scheduled examinations; maintains operational and summary reports; makes determinations concerning the setting of a proper examinations "pass mark"; coordinates the work of the Bureau with the Recruitment Bureau and divisions of the Civil Service Department, and with other agencies. QUALIFICATIONS: Two years of permanent service as a Chief Personnel Examiner.

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CIVIL SERVICE EXAMINATIONS AND STAFFING SERVICES SERIES

Administrative Trainee
Staffing Services Representative, Grade 14
Senior Staffing Services Representative, Grade 18
Associate Staffing Services Representative, Grade 23
Principal Staffing Services Representative, Grade 27
Chief Staffing Services Representative, Grade 29

Positions in this series are concerned with civil service recruitment, selection, and placement processes. The positions exist in the Staffing Services Bureau, Examinations and Staffing Services Division of the Department of Civil Service. The Bureau is charged with the responsibility to provide an effective staffing program for meeting the present and future manpower needs for state service and for the review and certification, with respect to conformance with Civil Service Law, Rules and Regulations, of personnel transactions submitted by state agencies.

Positions responsible for Civil Servicewritten testing services are classified in the Personnel Examiner Series 2401. Positions of Assistant Director of Examinations and Staffing Services and Director of Examinations and Staffing Services are classified in Series 2403.

ADMINISTRATIVE TRAINEE performs beginning level professional work, under close and continuing supervision, while undergoing a one-year training program, upon successful completion of which incumbents are advanced to the Grade 14 level without further examination. QUALIFICATIONS: Bachelor's degree, but no particular specialization is required.

STAFFING SERVICES REPRESENTATIVE, under the direct supervision of a Senior Staffing Services Representative, or an Associate Staffing Services Representative, assists in the routine professional work of a unit in the recruitment, selection, and placement of personnel to meet the manpower needs of state agencies, and assists in the review and certification of personnel changes in operating agencies; researches previous examination history and recruitment fields and examination needs for vacancies; prepares tentative examination announcements; prepares publicity [illegible]; reviews examination applications for approval or disapproval; [illegible] oral and performance tests and evaluations of training and experience; interviews eligible candidates for placement; reviews personnel transactions by state agencies for conformance with Civil Service Law, Rules and Regulations; answers routine correspondence on examinations, vacancies and [illegible] of eligible lists. QUALIFICATIONS: One year of satisfactory permanent service as an Administrative Trainee.

SENIOR STAFFING SERVICES REPRESENTATIVE, under the supervision of an Associate Staffing Services Representative, assists in the more complex assignments in a unit [illegible] recruitment, selection, and placement of personnel to meet [illegible] and in the review and certification of personnel transactions initiated by the agencies; conducts manpower planning studies; prepares examinations announcements and recruitment material; visits colleges and other schools relative to recruitment; interviews eligible candidates for placement; reviews

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personnel transactions by the agencies for conformance with Civil Service Law, Rules and Regulations; replies to inquiries from state agencies, employees and the public; arranges for oral and performance tests and evaluations of training and experience; and may supervise Staffing Services Representatives in these activities. QUALIFICATIONS: One year of permanent competitive service in an administrative services position allocated at Grade 14 or higher.

ASSOCIATE STAFFING SERVICES REPRESENTATIVE, under the general direction of a Principal Staffing Services Representative, has charge of a unit in a Staffing Services Section and assists in planning, developing and evaluating programs relating to recruitment, selection, and placement of personnel to meet the manpower needs for an assigned group of state agencies and in the review and certification of personnel transactions initiated by the agencies: conducts manpower planning studies; negotiates with state agencies regarding qualifications, types of tests and recruitment sources; participates in conferences with state agencies regarding examination needs, organizational changes and new programs which may affect the movement or selection of personnel; develops sources of recruitment; schedules examinations; prepares announcements and other publicity material; serves as an oral examiner; reviews personnel transactions for conformance with Civil Service Law, Rules and Regulations and answers inquiries from state agencies, employees and the public. QUALIFICATIONS: One year of permanent competitive service as a Senior Staffing Services Representative.

PRINCIPAL STAFFING SERVICES REPRESENTATIVE, under the general direction of a Chief Staffing Services Representative, serves as an Assistant Chief of a Staffing Services Section, and participates in planning, developing, managing and evaluating programs relating to recruitment, selection, and placement of personnel to meet the manpower needs for a number of state agencies and is responsible for the review and certification of personnel transactions initiated by the agencies: directs the work of the Section; administers oral and performance tests and evaluations of training and experience; evaluates distribution of examination test scores for the purpose of recommending passing scores; initiates and participates in conferences with state agencies concerning changes in organization structure and new programs affecting the examination process and for the expeditious and orderly transition of employees in state agencies in accordance with Civil Service Law, Rules and Regulations; validates selection activities utilized by the Section and assists in preparing Section reports, research studies for the improvement of examination material, and budget requests. QUALIFICATIONS: One year of permanent competitive service as an Associate Staffing Services Representative.

CHIEF STAFFING SERVICES REPRESENTATIVE, responsible to an Assistant Director of Examinations and Staffing Services, supervises a Staffing Services Section, and is responsible for the administration of programs relating to the recruitment, selection, and placement of personnel to meet the manpower needs of a number of state agencies, and the review and certification of personnel transactions initiated by the agencies: plans and directs continuing studies to assess manpower needs for state agencies; develops, administers and evaluates recruiting and testing programs; maintains abreast of changes and developments both in the organization and programs of state agencies and in occupational areas; approves and controls the delegation of functions to state agencies; directs and controls the review and certification of personnel transactions to ensure conformity with Civil Service Law, Rules and Regulations; recommends to the Assistant Director of Examinations and Staffing Services changes in policy and procedures which govern the activity of the Bureau. QUALIFICATIONS: One year of permanent competitive service as a Principal Staffing Services Representative.

SPECIFICATIONS--NEW YORK STATE DEPARTMENT OF CIVIL SERVICE

CLASSIFICATION AND PAY ANALYST SERIES

Administrative Trainee
Classification and Pay Analyst, Grade 14
Senior Classification and Pay Analyst, Grade 18
Associate Classification and Pay Analyst, Grade 23
Principal Classification and Pay Analyst, Grade 27
Chief Classification and Pay Analyst, Grade 29
Assistant Director of Classification and Compensation, Grade 33
Director of Classification and Compensation, Grade 37

Positions in this series administer, supervise or perform work involved in the analysis and evaluation of positions in the New York State service for the purpose of classifying such positions and fixing appropriate compensation for them. They are located only in the Division of Classification and Compensation in the Department of Civil Service. Positions in the operating departments which include compensation and position classification work among their duties are classified in the Personnel Administration Series, 2432.

ADMINISTRATIVE TRAINEE performs beginning level professional work, under close and continuing supervision, while participating in a one-year training program. Upon successful completion of the training program incumbents are advanced to the Grade 14 level without further examination. QUALIFICATIONS: Appointments are made from the Professional Career Test by certification of candidates having a bachelor's degree. No particular specialization is required. No work experience is required, but if candidates have had one year of satisfactory professional administrative experience after college graduation, or 30 graduate hours in an appropriate field, they may be placed on a separate eligible list from which appointments may be made, following regular Civil Service procedure, directly to the Grade 14 level.

CLASSIFICATION AND PAY ANALYST performs varied technical duties relating to the maintenance of the State classification and compensation plan: analyzes requests for new positions and for reclassification and reallocation of existing positions; prepares reports of findings and recommends appropriate classification and salary action; makes job audits to determine the correct classification or allocation of positions; drafts tentative class specifications; prepares organization and comparison charts; secures information from payroll, budget and certification records; supplements information secured by means of questionnaire; prepares summary explanations of reasons for decisions, disapproval letters and general correspondence; secures data for completion of salary and other personnel questionnaires received from other governmental jurisdictions and industrial concerns; maintains and controls records and compiles data for unit activities reports; may serve as leader of a classification survey team; may participate in salary surveys and study local rivalries; compiles information on classification and salary matters for use of other divisions of the Department. Work is assigned and results reviewed by the section head or the immediate supervisor. QUALIFICATIONS: One year of satisfactory permanent service as an Administrative Trainee or appointment from a separate list as described above.

SENIOR CLASSIFICATION AND PAY ANALYST performs responsible technical work relating to the maintenance of the State classification and salary plan: serves as group leader of field teams or office groups, and assists with and supervises the preparation of the reports of findings and proposals for action; analyzes requests for new positions and for reclassification and reallocation of existing positions; prepares reports of findings and recommends appropriate classification and salary changes and prepares reports thereof; consults with department personnel officers and with staff of other

divisions of the Department of Civil Service and the Division of the Budget on classification and salary problems; prepares class specifications, comparative analyses, explanations of reasons for determinations, and memoranda for other divisions; may assist in training subordinate analysts in the techniques, procedures, and practices of the Classification and Compensation Division. While a Senior Classification and Pay Analyst performs duties similar to those performed by a Classification and Pay Analyst, his assignments are more difficult, he is responsible for the classification and salary work in departments which have more frequent and involved classification and salary problems, is frequently placed in charge of special studies, and is required to function with more independence. Work is assigned and results reviewed by the section head or his immediate assistant. QUALIFICATIONS: One year of permanent competitive service as Classification and Pay Analyst.

ASSOCIATE CLASSIFICATION AND PAY ANALYST personally performs the more complex technical assignments: makes difficult job audits; studies special problems; conducts conferences with responsible departmental representatives, representatives of other divisions of the department and of the Division of the Budget; directly supervises large classification surveys and may supervise the preparation of reports and recommendations; may be in charge of salary surveys and other special projects; may review findings, reports, recommendations, comparative analyses, and draft specifications of subordinate staff; advises on questions of procedure, practice, and solution to technical problems; personally prepares memoranda, correspondence, and reports for the use of the section head and the Director of Classification and Compensation and the Civil Service Commission; participates in hearings on reclassifications or reallocations. QUALIFICATIONS: One year of permanent competitive service as Senior Classification and Pay Analyst.

PRINCIPAL CLASSIFICATION AND PAY ANALYST serves as second-in-charge of a technical section of the Classification and Compensation Division: is responsible for the classification and salary allocation work in all the State departments and agencies handled by his section; meets with high level officials of State departments to discuss the classification and allocation of positions within their respective departments; may supervise large and complex classification surveys; assists in the supervision of subordinate staff by reviewing their findings, reports, recommendations, comparative analyses, and draft specifications, and by advising them on procedure, practice and solution to technical problems; attends staff meetings and other conferences on development or amendment of policies and procedures; takes charge of the section in the absence of the Chief Classification and Pay Analyst. As second in command of the Special Studies Section assists in the review and analysis of all requests for special salary adjustments, in the obtaining of data in regard to such adjustments, in the annual salary study, and in the conduct of occupational studies and special projects; assists in planning and coordinating the work of subordinate personnel. QUALIFICATIONS: One year of permanent competitive service as Associate Classification and Pay Analyst.

CHIEF CLASSIFICATION AND PAY ANALYST serves as the head of a section of the Classification and Compensation Division. He functions under the general supervision of the Assistant Director of Classification and Compensation, but is primarily responsible for planning and carrying out the work program for his section. As head of a technical section, is responsible for all classification and salary allocation work for a large and important group of State departments and agencies: assigns, reviews, revises, and coordinates subordinates' work; personally conducts conferences with appointing officers, representatives of other divisions, the Division of the Budget, and top level administrators of State agencies; exercises final authority on

the disposition of new position and reclassification requests not involving deviation from policy; discusses classification, salary, and procedural problems with the Assistant Director and Director; provides expert guidance in arrangements for classification surveys by departmental personnel staff, reviews results of such surveys and assigns problems to section personnel for further on-the-job and office study; personally conducts hearings on classification and salary matters.

As head of the Special Studies Section (Research Section), is responsible for the application of special salary adjustments, for the acquisition of data regarding such adjustments, for the annual salary study, and for the conduct of occupational studies and special projects: plans and coordinates the collection and analysis of salary and other employment data by survey and from published sources, the preparation of survey reports, and the collection and analysis of recruitment and vacancy data; applies this information and his judgment and initiates the use of various pay devices designed to maintain the competitive position of the State; directs the review and analysis of all applications for increased minimum salaries (Section 130-4 and 131-la of the Civil Service Law), area differentials and shift differentials, and the preparation of guide lines for the use of appointing officers and others in appointing exceptionally well qualified individuals to advanced salary rates under Section 131-la; supervises the conduct of occupational studies, and special classification projects; supervises replies to numerous inquiries and questionnaires on classification and pay matters, the review and editing of class specifications, and the preparation of materials for the division procedures manual and the annual Report.

Assigns, reviews, revises and coordinates the work of subordinates; plans the major phases of the Section's activities and assigns priorities to the various tasks and studies; approves plans for various types of studies, including coverage, methods and forms; reviews and approves methods of data analysis and format of reports; approves denial letters on rejected applications for pay adjustments and discusses with the Director those which require his consideration because of their nature or importance; decides on those types of pay adjustments to be proposed to his superior; recommends the adoption of guide lines under Section 131-la, and the revision of title and/or pay structures as the result of occupational or other types of studies; advises the Director of findings on the annual Salary Study and other special salary studies and proposes and assists in preparing Division recommendations; participates in annual salary negotiations with employee representatives; directs the development and cost estimates for various types of general or special salary increases; conducts and participates in various types of Division hearings on classification and salary matters; supervises the publication of the Classification and Compensation Plan, the preparation of various Division production reports, and the maintenance of a library of classification and pay materials including the pay plans of various major public jurisdictions; may prepare legislation and revise that prepared by others; may prepare the Division PPBS and annual budget request; represents the Division in contacts throughout the Department and with officials from other departments on any of the above. QUALIFICATIONS: One year of permanent competitive service as a Principal Classification and Pay Analyst.

ASSISTANT DIRECTOR OF CLASSIFICATION AND COMPENSATION supervises, controls, and coordinates the work of the technical and clerical staffs of the Classification and Compensation Division; plans the utilization of personnel and the work program for the Division; reviews the technical work of unit personnel including memoranda, survey reports and correspondence, to insure agreement with Division policy and practice, with established classification and compensation standards, accuracy, good technical quality, and satisfactory literary composition; consults with and advises Section heads and other technical staff on unusual classification, salary or procedural

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problems not requiring attention of the Director; develops or improves classification and compensation procedures and practices; establishes cooperative relationship with department officials and employee groups and represents the Division in various contacts and conferences with personnel within and outside the Department of Civil Service; provides for an accurate and adequate records system; insures that necessary clerical and stenographic services are available to meet Division needs; interviews prospective employees; prepares and reviews service ratings; prepares budget justifications, procedures memoranda, and forms for the Division; directs and participates in Division training activities; reviews operating reports; during the Director's absence, acts as Director of Classification and Compensation. QUALIFICATIONS: One year of permanent competitive service as Chief Classification and Pay Analyst.

DIRECTOR OF CLASSIFICATION AND COMPENSATION plans, organizes, and directs all activities of the Classification and Compensation Division: is responsible for the classification and reclassification of positions in the classified service, and the allocation and reallocation of positions in the competitive and non-competitive classes to appropriate salary grades; may personally determine cases involving the establishment of new titles, reallocation of existing titles, or increase of salary grade minimums where recruitment at normal minimum is impracticable; makes determinations involving exceptions to existing policy, or having particularly significant implications; reviews periodically the duties, responsibilities, qualification requirements and compensation of positions and makes needed revisions; directs the establishment of standard specifications; plans and directs salary, occupational, organizational, and title structure studies, reviews findings and makes salary and classification determinations; hears or assigns the hearing of and makes determinations on applications and grievances with respect to the classification and compensation of positions; investigates all matters affecting the classification and compensation of State positions; coordinates the work of the Classification and Compensation Division with other divisions of the Civil Service Department and with other State agencies; interviews prospective employees for technical positions; is responsible for final review of service ratings; prepares and delivers public addresses and writes articles for publication. QUALIFICATIONS: One year of permanent competitive service as Assistant Director of Classification and Compensation.

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Defendants' Exhibit D–Sequential Training Curriculum for New York State Correction Officers (March 12, 1973–June 5, 1973)

SEQUENTIAL TRAINING CURRICULUM

FOR

NEW YORK STATE CORRECTION OFFICERS

EIGHTH CLASS

NEW YORK STATE POLICE ACADEMY

ALBANY, NEW YORK

MARCH 12, 1973 - JUNE 5, 1973

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INTRODUCTION

Within the framework of a three months introductory course the Correction Officer is systematically and sequentially introduced to his new position.

After a review of the history of penology and an explanation of departmental philosophy, purposes and objectives, the trainee is familiarized with the criminal justice system and process. He then progresses through a planned sequence designed to acquaint him with the Correctional Process and the necessary skills of the job.

Emphasis is placed upon knowledge and application of human relations principles. However, substantial time is allocated for instruction in defensive tactics and the use of weapons and gas equipment. Physical conditioning is included daily.

An important aspect of the training program is the inclusion of extensive visits to correctional facilities (both medium and maximum security facilities). This provides the student with an opportunity to observe at the correctional setting, participate in on-the-job duties, and feedback his observations to the rest of the class and instructors, thus enhancing the learning experience.

In order to effectively convey and instill the necessary knowledge for the job, extensive use is made of professional instructors, consultants, and qualified Department employees including the Training Lieutenants from the various facilities.

Periodically the trainee is tested and evaluated to ascertain his attitudes and retention of material presented. A final evaluation will accompany the trainee to his correctional assignment.

In summation, the new Correction Officer is trained methodically and sequentially in the significant areas of his job. The knowledge and experience he obtains is greater than mechanical. He is thoroughly familiarized with the criminal justice process and the operative correctional system. He enters a new career with confidence gained through participation in a meaningful and well-balanced, structured program designed to instill this confidence through demonstrated ability.

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Wilson E. Walters
Director of Staff Development

ACADEMY STAFF

Hylan Sperbeck
Captain

Wayne Strack
Lieutenant

Sgt. Ronald Moses Sequential Curriculum	Sgt. Albert Young Supervision of Counselors	Sgt. Nathaniel Hayes Physical Training Defensive tactics
C.O. Harold Cuettler Counselor	C.O. Ismael Colon Counselor	C.O. John Hough Counselor
C.O. Henry Libard Counselor	C.O. Donald Carey Counselor	C.O. Robert Munger Counselor
C.O. George Federoff Counselor	C.O. Fredrick Richardson Counselor	C.O. Gerald King Counselor
C.O. David Wichtowski Counselor	C.O. Gary Fillion Counselor	C.O. Fredrick Rich Counselor

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PERSONNEL - PAYROLL

Completion of all necessary personnel and payroll forms.

Explanation of Employee Benefits

PRE-TEST

Each trainee will be required to explain briefly in writing his concept of what Correction work is all about as well as what he feels his role will be in the facility and Department.

INTRODUCTION TO THE CRIMINAL JUSTICE SYSTEM

This initial phase of the training program is to orient the trainee to a complete sequential overview of the criminal justice system including the following:

A. Nature of Crime
B. Detection
C. Apprehension
D. Booking
E. Arraignment
F. Securing Legal Assistance
G. Temporary Confinement or Release on Bail
H. Plea Bargaining
I. Trial
J. Possible Continued Confinement
K. Sentencing
L. Probation or Incarceration
M. Parole or Release
N. Rehabilitation or Recidivism

INTRODUCTION AND FAMILIARIZATION: THE DEPARTMENT OF CORRECTIONAL SERVICES

HISTORY:

Brief reflection on the history of Penology and Corrections.

OBJECTIVES & PURPOSE:

Clearly define the objectives, purposes and philosophy of the Department.

THE CORRECTIONAL PROCESS:

The Division Heads in Central Office will define the function of their respective Divisions in the Department.

DEFINITION OF ROLES AND RESPONSIBILITIES:

This phase will define roles and responsibilities of people and divisions and give a complete overview on how the various systems are connected and related to form the Department.

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HUMAN RELATIONS (CONTINUED)

RELATIONSHIPS & ATTITUDES ABOUT EMPLOYEES:

How employees relate to each other and how their attitudes affect their relationships and the effect transferred to the inmate.

GROUP COUNSELING:

An introduction to the history, purposes & foundations. A survey of various techniques with participative experience. An evaluation of group counseling as a practical application of human relations knowledge and experience within the correctional setting.

PUBLIC RELATIONS

The nature of Public Relations describing the overall goals and techniques including how the actions of the Correction Officer can affect the image of Corrections in our society.

OBJECTIVE OBSERVATION

The practice of active awareness of actions and surroundings as being one of the main basics for effective supervision. Also the ability to be objective in making final judgments.

ORIENTATION TRAINING

PREPARATION FOR THE FIRST OUT TRIP:

The trainee will be instructed on the overall operations of the facility that he will be going to and what to look for while he is there.

CONTRABAND, FRISK AND SEARCH

While at the facility the trainee will be shown illustrations of contraband and instructed in the principles and purpose of frisking and searching.

O.J.T. -

An opportunity to witness the various programs and methods in operation as previously described.

POST O.J.T. ANALYSIS:

Comments, observations, and feedback.

PREPARATION FOR THE SECOND O.J.T.

Again, the trainee will be instructed on the operations of the facility and advised on certain areas of difference from the previous facility.

O.J.T. -

An opportunity to witness the various programs and methods in operation including the difference in degrees of security (Maximum, Medium, Minimum).

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INAL TESTING AND EVALUATION

An evaluation to determine, among other things, the trainees retention of material presented, his ability to realistically apply this knowledge, and his adaptability to the correctional setting.

This evaluation will accompany the trainee to his subsequent assignment for follow-up evaluation at the facility.

RADUATION

Commissioner Russell G. Oswald

DXD

survey of its components and their interrelatedness and dependence on each other. Discussion topics clude functions and responsibilities; problem areas; trends, and experimental programs. Scope and scussed as well.

CRIMINAL JUSTICE SYSTEM

COURTS

A. Decisions
1) Guilty or Not Guilt
2) Sentence
3) Review of Cases and Procedures

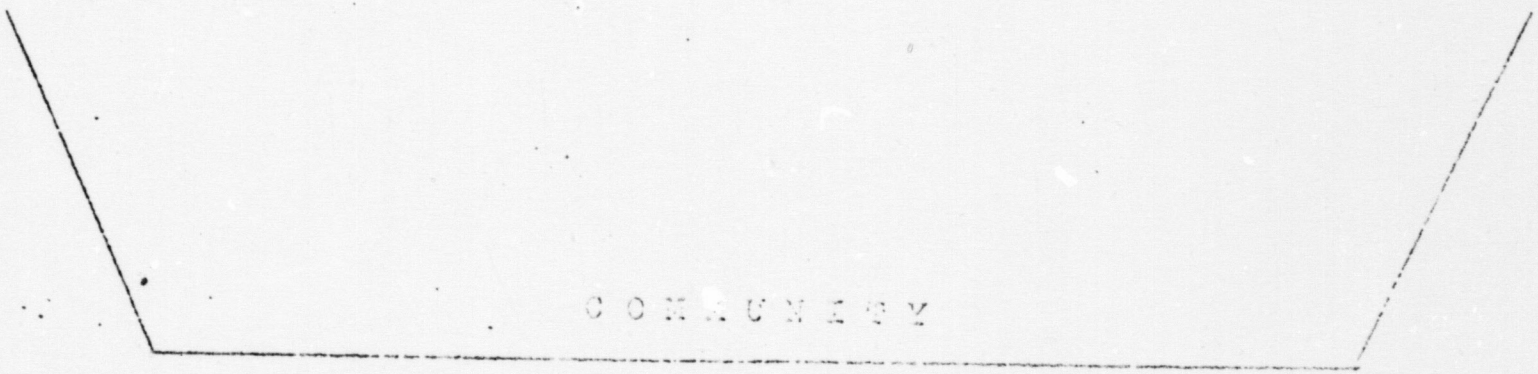
B.
1) Administration
2) Resources
3) Bail
4) Probation

Prosecutors
(D.A.)
-protect innocent
-protect community
-prosecute
-investigate

Institutions
(Federal, State, Local)
-purpose
-trends
-community based

Police
-prevent
-protect
-stop
-investigate
-apprehend
-present evidence

Release
-parole
-"back-out"
-community/ prof



1ST WEEK

MARCH	12	13	14	15	16
PERIODS	MONDAY	TUESDAY	WEDNESDAY	THURSDAY	FRIDAY
PERIOD I 8:30 - 9:20		(STAFF) P E	(STAFF) P E	(STAFF)	(STAFF) P E
PERIOD II 9:30-10:20		H X Y A	H X Y A	PERSONAL	H X Y A
PERIOD III 10:30 - 11:30	(STAFF) REGISTRATION	S M I I	S M I I	INTERVIEWS	S M I I
PERIOD IV 11:30 - 12:20	" " "	C N A A L TIONS	C N A A L TION		C N A A L TION
LUNCH 12:30 PERIOD 1:30					
PERIOD V 1:30 - 2:20	(MR. WALTERS) WELCOME (CAPT. SPERBECK)	(MR. BANKHEAD & STAFF) PERSONNEL AND	DEPARTMENTAL	WITH	
PERIOD VI 2:30 - 3:20	STAFF ORIENTATION	PAYROLL	P O L I	TRAINEES	
PERIOD VII 3:30 - 4:20	FILLING OUT REQUIRED DATA	FORMS	C I E S	" " " " " " "	

THIS WEEK WILL INCLUDE:
FINGER PRINTING
ID PHOTOS
APPAREL MEASUREMENTS
PHYSICAL EXAMINATIONS
PERSONAL INTERVIEWS
FILLING OUT NECESSARY FORMS

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2 ND WEEK — SESSION EIGHT

MARCH	19	20	21	22	23
PERIODS	MONDAY	TUESDAY	WEDNESDAY	THURSDAY	FRIDAY
PERIOD I 8:30 - 9:20		(MR. CAREY) GUIDANCE & CLASSIFICATION	(MR. MILLS) FACILITY	(MR MCLAIN) INTRODUCTION	(MR. ROSE) TRIAL
PERIOD II 9:30-10:20		(MR. DALEY) FISCAL MANAGEMENT	INDUSTRIES	TO REPORT WRITING	PROCEDURES SENTENCING
PERIOD III 10:30 - 11:30	(MR. MCLAIN) TECHNIQUES OF SYSTEMATIC HOUSEKEEPING	(MR. MALOY) VOLUNTEER SERVICES	(MR. CZARNETZKY) EDUCATIONAL	(PROF FITZGERALD) OVERVIEW	AND PLEA BARGAINING
PERIOD IV 11:30 - 12:20	(COL. VAN RIEKERE) ADMINISTRATIVE SERVICES	(DR. BRADLEY) MEDICAL SERVICES	PROGRAMS	OF THE	
LUNCH 12:30 PERIOD 1:30					
PERIOD V 1:30 - 2:20	(MR. VAN DE CAR) DIVISION OF MANPOWER & EMPLOYEE RELATIONS	(DR. BRADLEY) MEDICAL SERVICE	(MR. ENO) PUBLIC RELATIONS	CRIMINAL	
PERIOD VI 2:30 - 3:20	(MR. WALTERS) STAFF DEVELOPMENT (MR. PARKS) LABOR RELATIONS	(COL. BAKER) PAROLE	PHYSICAL	JUSTICE SYSTEM	
PERIOD VII 3:30 - 4:20	(DR. BUSH) MINORITY MANPOWER (DR. ROSEN) RESEARCH, EVALUATION AND PLANNING	SERVICES	TRAINING		

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PERIODS	MONDAY	TUESDAY	WEDNESDAY	THURSDAY	FRIDAY
PERIOD I 8:30 - 9:20		(MR. MURGIA) LAWS, LEGAL RIGHTS	(MR. KOSLOW) FOOD	(STAFF) CORRECTIONAL	(C.O. SHIELDS) WORK RELEASE AND
PERIOD II 9:30-10:20		AND RESPONSIBILITIES	SERVICES	FACILITIES	FURLOUGH PROGRAM
PERIOD III 10:30 - 11:30	(PTL. MCGOWAN) LOCAL POLICE FUNCTIONS	OF EMPLOYEES	(MR. FITZPATRICK) HISTORY OF PENOLOGY OBJECTIVES	(SGT. CASSIDY) RECEPTION	(SGT. YOUNG) ROLE IDENTIFICATIO
PERIOD IV 11:30 - 12:20	(SGT. LA PLANTE) STATE POLICE	AND INMATES	AND GOALS OF THE DEPARTMENT	(MR. WEINROTH) ORIENTATION	(MR. CAREY) THE CORRECTIONAL COMMUNITY
LUNCH 12:30 PERIOD 1:30					
PERIOD V 1:30 - 2:20	" " FUNCTIONS	(MR. WALTERS) FACILITY ADMINISTRATIVE	(MR. PUFIL) CORRECTIONAL CAMPS	(MR. GRIER) AND CLASSIFICATION	
PERIOD VI 2:30 - 3:20	PHYSICAL	STRUCTURE	PHYSICAL	CENTER	
PERIOD VII 3:30 - 4:20	TRAINING	(MR. MCLAIN) REPORT WRITING	TRAINING	(MR. WITT) COMMUNITY PLACEMENT	

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SESSION FIVE

4TH WEEK

PERIODS	2 MONDAY	3 TUESDAY	4 WEDNESDAY	5 THURSDAY	6 FRIDAY
PERIOD I 8:30 - 9:20		(DR. FAVREAU)	(DR. RUSH AND STAFF)		(DR. HUME)
PERIOD II 9:30-10:20		LEADERSHIP	FORMATION OF VARIOUS	RELATIONSHIP AND	SIGNIFICANCE OF ABNORMAL
PERIOD III 10:30 - 11:30	(SGT. YOUNG) ATTITUDES	AND	ATTITUDES	ATTITUDES	INMATE
PERIOD IV 11:30 - 12:20	IN SUPERVISION	MOTIVATION	AND	AMONG	BEHAVIOR
LUNCH 12:30 PERIOD 1:30					
PERIOD V 1:30 - 2:20	(MR. MCLAIN) REPORT WRITING	THEORIES	BELIEFS	EMPLOYEES	
PERIOD VI 2:30 - 3:20	PHYSICAL	(C.O. FUGER) INTRODUCTION TO	PHYSICAL	(C.O. PUMPER) OBJECTIVE	
PERIOD VII 3:30 - 4:20	TRAINING	HUMAN RELATIONS	TRAINING	OBSERVATIONS	

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APRIL 9 10 11 12 13

PERIODS	MONDAY	TUESDAY	WEDNESDAY	THURSDAY	FRIDAY
PERIOD I 8:30 - 9:20		(SGT. YOUNG) IDENTIFICATION	(LT. DOREN) G C	(MR. MCLAIN)	(STAFF) OFFICERS
PERIOD II 9:30-10:20		OF DRUGS	B O O U	INMATES	RULES
PERIOD III 10:30 - 11:30	(C.O. O'DONNELL) TYPES	(SGT. YOUNG) (C.O. LIPURD) CULTURAL	R S E	RULES	AND
PERIOD IV 11:30 - 12:20	OF	BACKGROUNDS	L I N G	AND	REGULATIONS
LUNCH 12:30 PERIOD 1:30					
PERIOD V 1:30 - 2:20	INMATES	(C.O. COLON) OF	" "	REGULATIONS	
PERIOD VI 2:30 - 3:20	PHYSICAL	INMATES (C.O. MUNGER) AND EMPLOYEES	PHYSICAL	(C.O. MUNGER) FUNCTIONS OF THE	
PERIOD VII 3:30 - 4:20	TRAINING	(MR. MCLAIN) REPORT WRITING	TRAINING	ADJUSTMENT COMMITTEE	

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FOR WEEK

APRIL 16 17 18 19 20

PERIODS	MONDAY	TUESDAY	WEDNESDAY	THURSDAY	FRIDAY
PERIOD I 8:30 - 9:20		PHYSICAL	(SGT. KIMBLE)	(MRS. EALY)	(MRS. EALY)
PERIOD II 9:30-10:20		TRAINING	TRANSPORTATION	DEVELOPMENT	DEVELOPMENT
PERIOD III 10:30 - 11:30	(LT. KNIEGISER) OFFICER	(SGT. DONOHUE) CONTRABAND	OF	OF	OF
PERIOD IV 11:30 - 12:20	INMATE	FRISK	INMATES	GROUP	GROUP
LUNCH 12:30 PERIOD 1:30					IDENTIFICATION
PERIOD V 1:30 - 2:20	RELATIONSHIPS	AND	(STAFF) EVALUATION TEST	"	
PERIOD VI 2:30 - 3:20	AND	SEARCH	PHYSICAL	"	
PERIOD VII 3:30 - 4:20	ATTITUDES	(MR. MCLAIN) REPORT WRITING	TRAINING	IDENTIFICATION	

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WEEK

RIODS	MONDAY	TUESDAY	WEDNESDAY	THURSDAY	FRIDAY
ERIOD I :30 - 9:20					
ERIOD II):30-10:20					
ERIOD III 0:30 - 11:30					
ERIOD IV 11:30 - 12:20					
LUNCH 12:30 PERIOD 1:30					
PERIOD V 1:30 - 2:20					
PERIOD VI 2:30 - 3:20					
PERIOD VII 3:30 - 4:20					

ON THE JOB TRAINING

A-1510

ONLY COPY AVAILABLE

DND

APRIL

PERIODS	MONDAY	TUESDAY (C.O. [illegible])	WEDNESDAY	THURSDAY	FRIDAY
PERIOD I 8:30 - 9:20		WEAPONS		TRAINING	
PERIOD II 9:30-10:20			(C.O. [illegible]) &		
PERIOD III 10:30 - 11:30	(MR. MCLAIN) WRITTEN	DECISION MAKING			
PERIOD IV 11:30 - 12:20	FEED BACK FROM QUIT				
LUNCH PERIOD 12:30 - 1:30					
PERIOD V 1:30 - 2:20		TECHNIQUES			
PERIOD VI 2:30 - 3:20					
PERIOD VII 3:30 - 4:20					

A-1611

DXO

TH WEEK

AY

RIODS	MONDAY	TUESDAY (C.O.	WEDNESDAY	THURSDAY	FRIDAY
PERIOD I 8:30 - 9:20		WEAPONS		TRAINING	
PERIOD II 9:30-10:20		&		(C.O. MISSIONS II)	
PERIOD III 0:30 - 11:30		DECISION MAKING			
PERIOD IV 11:30 - 12:20					
LUNCH 12:30 PERIOD 1:30					
PERIOD V 1:30 - 2:20		TECHNIQUES			
PERIOD VI 2:30 - 3:20					
PERIOD VII 3:30 - 4:20					

A-1512

PERIODS	MONDAY	TUESDAY	WEDNESDAY	THURSDAY	FRIDAY
PERIOD I 8:30 - 9:20					
PERIOD II 9:30-10:20					
PERIOD III 10:30 - 11:30					
PERIOD IV 11:30 - 12:20					
LUNCH 12:30 PERIOD 1:30					
PERIOD V 1:30 - 2:20					
PERIOD VI 2:30 - 3:20					
PERIOD VII 3:30 - 4:20					

ON THE JOB TRAINING

A-1513

DXD

RIODS	MONDAY	TUESDAY	WEDNESDAY	THURSDAY	FRIDAY
ERIOD I :30 - 9:20					
ERIOD II 9:30-10:20					
PERIOD III 0:30 - 11:30					
PERIOD IV 11:30 - 12:20					
LUNCH 12:30 PERIOD 1:30					
PERIOD V 1:30 - 2:20					
PERIOD VI 2:30 - 3:20					
PERIOD VII 3:30 - 4:20					

ON THE JOB TRAINING

A-1514

DXD

MAY 29 30 31 JUNE 1

PERIODS	MONDAY	TUESDAY	WEDNESDAY	THURSDAY	FRIDAY
PERIOD I 8:30 - 9:20		(MR. CUNNINGHAM) ONE HALF	(MR. CUNNINGHAM) ONE HALF	(MR. BEUCHER) FIRE	DEPARTMENTAL INVESTIGATIVE PROCEDURES
PERIOD II 9:30-10:20		OF CLASS TO	OF CLASS TO	AND	(STAFF) FEED
PERIOD III 10:30 - 11:30	(MR. MCCLAIN) FEED BACK ON ON THE JOB TRAINING	AMERICAN RED	A MERICAN RED	SAFETY	BACK
PERIOD IV 11:30 - 12:20	USING WRITTEN REPORTS (STAFF)	CROSS FOR FIRST AID COURSE	CROSS FOR FIRST AID COURSE	PROCEDURES	TESTING
LUNCH 12:30 PERIOD 1:30	(MR. MCCLAIN)	(C.O. FEDERICI) AND ONE HALF	(C.O. FEDERICI) AND ONE HALF		
PERIOD V 1:30 - 2:20	STAFF REPORT ON OJT USING WRITTEN REPORTS	OF CLASS FOR	OF CLASS FOR	PHYSICAL	
PERIOD VI 2:30 - 3:20	PHYSICAL	GAS PROCEDURES	GAS PROCEDURES	TRAINING	
PERIOD VII 3:30 - 4:20	TRAINING	TRAINING	TRAINING	TESTING	

A-1515

DXD

Defendants' Exhibit E—Occupational Survey of Correction Officer and related positions and related memoranda

A1 DXF

~~Occupational Survey of Correction Officer~~
~~of Junior Officer~~
~~Matteawan State Hospital~~
~~Report of the Institutional~~
~~Narcotic Rehabilitation Center at Matteawan~~

On Tuesday, May 12, Ernest DesChenes, Michael Roche, Larry Rockwood and [illegible] met with Dr. Lenzkrom the Director of Matteawan and Dr. Melon Zaglof the Director of Dannemora State Institution. Also at that meeting were two Supervising Correction Hospital Officers and Mr. Roy Barbard the Business Officer at Matteawan. The purpose of this meeting was for Drs. Lenzkrom and Zaglof to orient the survey group to the Correction Officer facilities.

Dr. Lenzkrom began by talking about the three types of patients and inmates on the grounds. From a diagnostic point of view he indicated that there are three groups. One group are patients who are psychotic; the vast majority of such have homicidal and suicidal tendencies; the second group are mentally retarded with the same tendencies and the third group are narcotic addicts who are not psychotic. From an administrative point of view each type of patient must be handled differently. The rehabilitation approach whether it be medical, social, or psychiatric, etc. varies from group to group. From a legal point of view Dr. Lenzkrom indicated that patients are committed under different laws and accordingly different conditions apply as to their length of imprisonment and their disposition following completion of their stay. For example, he mentioned that 75% of the patients have been indicted for serious crimes but because of their low mental capacity they are unable to understand the charges brought before them. In such cases the Commissioner of the Department of Mental Hygiene decides whether the patient will be placed in a Mental Hygiene facility or a Correction facility. Ten percent of the patients come from other correctional institutions where there is no felony involved in their reason for being imprisoned but during their stay at this other correction facility have exhibited psychopathic and anti-social behaviour. Another 15% have been sent to Matteawan from Mental Hygiene hospitals because they have been judged to be extremely dangerous.

A Court decision in 1966 radically changed the patient population. It is a fact that was to one sentences of indeterminate length. At this time all sentences to Matteawan are for a definite period of time and at the end of such time legal disposition

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come from other institutions. Half of these inmates have drug problems with another large percentage having a problem with alcoholism. All are psychopaths with very low frustration tolerances. At the conclusion of this meeting Ernest DesChamps and Michael Roche went with Dr. Zaglof to begin the tour of Beacon State Institution. Larry Rockwood and I went with Correction Officer Michael Carufe and Correction Charge Officer William Thom to tour Matteawan State Hospital.

Later in the day, we met with a Mr. Sherlock who is a part-time employee of Matteawan State Hospital and is in charge of the hospital staff development program. As I understand the status of his position it appears to be a job established for a temporary period of time and paid from a 5-year $25,000 Federal Grant which is expiring this coming June. Beyond this details relating to financing were not clearly defined, nor were future plans revealed./ Mr. Sherlock described the staff development program. Last year three vice training programs were available for the Correction Officers; a basic skills course in psychology, a nursing skills course and one on narcotics addiction. Specifics relating to courses, content and numbers attending will be furnished by Mr. Sherlock. Outside of the three basic skills courses, a sampling of the offerings includes:

1. Social and Economic Determinants to Behavior
2. Mental Retardation
3. Abnormal Behavior
4. Criminal Law
5. Supervision Seminar

All are reported to be of 20-hour duration with a number of them being given by professors drawn from local colleges.

At the present time, Mr. Sherlock has explained that they have temporarily abandoned the former class on specific subject matter and have attempted an experiment in what he calls group experience. Presently, there are 7 groups of 15 employees. The group is led by a Psychiatrist and the groups are not mixed in the terms of employees or supervisors. These groups meet one hour per week for 25 weeks with the objective of developing and improving skills, handling patients and in developing better understanding and communications internally within the staff and hopefully in their relationships with the patients. In addition they hope that as a result

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of the case must be made. Such disposition, for example, could be committal to a Mental Hygiene facility, recommittal to the courts and in some cases release back into society. As such, the inmate population dropped from about 1498 in the beginning of 1966 to 631 in 1967. Presently, Matteawan State Hospital has 565 inmate patients. This enabled the staff to be able to give more intensive treatment to the inmates that remained. Thus in September 1967 Beacon State Institution was established as a reformatory for boarderline mentally retarded criminals.

With regard to the role of the Correction Officer, Dr. Lanzkrom stated that he views their responsibility to fall under two major categories, security and treatment. The security aspect involves the custodial care of the patients with all of the many precautions that must be taken to keep such patients where they are told they should be. In addition they must ensure the safety of everyone within the institution including the patients. With regard to the other aspect, the Doctor stated that the Correction Officer assists in the medical treatment by distributing medication and attending patients in the psychological treatment, by assisting in giving classes in resocialization and remotivation and in some cases in group counseling sessions.

During Dr. Lanzkrom's presentation to us at which time he also gave us a package of statistical information concerning the inmate population which shows that the overwhelming majority of patients have committed violent attacks on other people; either assault, murder, kidnapping, rape, etc.

Dr. Zaglof gave a brief presentation concerning Beacon State Institution, its focus and objective being a program directed toward the intensive treatment of patients. Her presentation included the explanation of the legal status of patients, the type of inmate at the institution and some statistical information concerning the institution. She did state that the type of inmate at the institution is in a constant state of change. The present range of IQs is from 24 to 80. A large number of new patients have been admitted in the past month or so and have

D & E

of such sessions the Correction Officer would be motivated to further his formal education.

In regard to this last point there have been some funds available to reimburse Correction Officers who take formal course work in subjects related to his occupation at nearby colleges. Mr. Sherlock who is also employed at Marist College is attempting to work a deal with them so that certain courses that may be taught at the hospital could be applied toward academic credit at the college.

In addition to the staff development training program, each new employed upon completing his probationary period attends the Correction Department's training academy. This training includes three weeks, eight hours a day of orientation to the development of certain basic skills. It was at this time that we talked

see next page

DXE

briefly concerning what happens to a new employee when he comes to work at Matteawan. For the first couple of weeks this employee is assigned to another Correction Officer on varying assignments. He has each post explained to him and gradually begins to perform some of the duties by himself. Then after two weeks he goes on either the evening or night shifts where patient activities are at a much lower level, his primary responsibility being with security.

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Description of Post and Employee Duties

As we approached the gate post to the main building, Mr. Caurfe noted that this post which is outside of the very high screened fence is manned by an Institution Safety Officer. The Correction Hospital Officer would replace this man only in an emergency or in the event of an absence.

Chart Office:

This post is manned by two Correction Hospital Officers; Foster Way and Joseph Christopher. The duties of this post involve the auditing of time cards and time records; preparing work schedules; vacation schedules and various reports concerning staffing requirements for the day. We spoke to Mr. Christopher and he told me that this was his permanent assignment except that from time to time he works on the wards when they are very shorthanded.

Communications Room:

This post is manned by two Correction Hospital Officers. We interviewed neither. Records are kept in this room concerning fingerprints and radio communications. They operate the radio and a PBX type switchboard, they discharge personnel in the event of fire, fingerprint visitors and perform related type duties.

Inside Door Post:

When we left the Communications Room which was part of the Administration Building we went through two doors which were locked and each manned by a Correction Hospital Officer who is responsible for letting only authorized personnel in or out.

Supervisor's Office:

The last post we passed and at which we again did not interview anyone was at the Supervisor's Office. In charge of this office is one Correction Supervising Officer who is responsible for assigning duties to Correction Officers, making shift assignments, ward assignments, etc.

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Patients Wards:

The staffing for each of the wards in the men's building is basically the same. The normal day shift which begins at 6:30 in the morning has one Correction Charge Officer, two Correction Hospital Officers, with one additional Correction Hospital Officer reporting for duty at 10:00 a.m. For both the evening and night shifts there is a Senior Correction Hospital Officer and two Correction Hospital Officers. Our tour of the men's building consisted of reviewing the Correction Officer activities on the ~~Administration~~ Ward, the Segregation Ward, and four other wards. On the Segregation Ward the day shift has one additional Correction Hospital Officer. In addition we talked with ~~and~~ visited the Infirmary and Intensive Treatment Ward.

We talked with the following Correction Charge Officers: Robert Pitt, Dick Goldsmith, Joseph Ferrone, and Patrick Prisco in the four standard hospital wards. The duties of each of these Charge Officers are substantially the same. They supervise the Correction Officers assigned to them in ensuring that all housekeeping and cleaning details are taken care of in the sleeping area and in the ward areas (day room). The Charge Officer dispenses medication to the patients, notes reactions to such medications in terms of their behavior within the ward, prepares progress reports on patients in terms of their ability to get along with each other and the amount of activity of that patient. He keeps a variety of housekeeping records such as a property and clothing list for each patient, a list of all orders patients give to the commissary, a log book on any significant activity in the ward particularly insofar as patient discipline is concerned.

Once a week ward meetings are conducted which include all patients of that ward, a doctor, and all of the Correction Officers on duty in that ward at the time. Such meetings are run as we are told primarily by the patients and deal with their suggestions for the operation of their ward and questions

regarding certain rules and regulations and hopefully dealing with various issues which affect the patients on the ward. At these meetings they are asked if they have any problems, questions, or suggestions, and if necessary, and the like. Each of these Charge Officers talked about their role in counseling patients. They talked about the personal relationship that they attempt to establish with the patients to enable such patients to feel free to come and talk to them about their problems.

Patient activity on the wards varied depending upon the type of patient that was in each ward. There is some attempt to group patients based on their ability to get along with each other. For example, in the first ward we toured the patients were somewhat older than the average and consequently not very active. However, the second ward we walked into the patients were very young, very active and apparently don't always get along together well. We arrived just after the Charge Officer and the Correction Hospital Officer had broken up a fight and had placed one of the patients in a straightjacket. The Charge Officer had just begun to write his report in the log book of this incident.

In addition to talking with the Charge Officers we talked with Robert McCarrol a Correction Hospital Officer on Ward 10 where the fight had just taken place. Mr. McCarrol repeated many of the things that the Charge Officers told us regarding the duties of the Officers on the wards. Mr. McCarrol is responsible for supervising patients in the cleaning and care of the sleeping and ward areas. He takes patients to and from the ward when they must go to another part of the hospital on a work or other assignment. ~~or other~~. He helps patients write letters to their family and friends, helps them read letters they receive, attempts to establish a personal relationship with the patients and generally does a lot of clerical work in maintaining records.

Based on statements made by Mr. McCarrol, the Charge Officers and the two Correction Hospital Officers guiding us through these wards, this appears to be typical of the duties performed by Correction Hospital Officers assigned to wards.

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Admission
Administration Ward: This would hold newly admitted patients for the several weeks it takes to screen, classify and assign them to a regular ward.
The duties of all of the Correction Officers and the Charge Officer in the Admission Ward are identical to those performed in the wards discussed above. A major difference is that THERE IS LITTLE INFORMATION in the patient ~~is that very little is available~~ in terms of knowing how he will react in this situation. Patients are moved from the Administration Ward after a brief stay to one of the other wards. We talked with Mr. Green who is a Correction Officer in the Hospital Administrations Ward.

Segregation Ward:

The Segregation Ward is a special area of the hospital which is used to house those patients who have committed violent actions against either Correction Officers or ~~other~~ Hospital patients. The security in this ward is essentially tight because of the type of patient they must deal with. The patients do not move off of this ward to the dining room or any other area where they could cause trouble. Their / sleeping quarters are not separate from the day area as in the regular wards. They have rooms which are very small and each with toilet facilities. Unusually difficult patients are kept locked in these rooms. The daily routine of the Officers on this ward is very similar to those on the other wards except for the unusual security precautions. We talked with Correction Charge Officer William McGaughrin.

Ward 14: In studying ward for patients to transfer from Segregation to see if sufficient progress has been made to move him to a regular ward.
This ward is supervised by Patrick Prisco mentioned above. The patients in this ward are very active and ~~just about all of them~~ Most have come from the Segregation (seclusion) Ward. Very few of them are given jobs or attend any training classes whatsoever. Because of such activity and the potential danger of the patients one extra Officer is assigned to this Ward during the day.

Occupational Therapy Post:

The Post is supervised by Correction Hospital Officer Nick Doncfrio. He is responsible for the security of the corridor and four or five work rooms.

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He picks up and delivers patients to and from the ward and the occupational therapy rooms. He is responsible for the general cleanliness and orderliness of the area. Periodically in the absence of one of the vocational instructors he might assume part of the duties. There are only 26 to 28 patients in the hospital involved in occupational therapy at the present time. These men are involved in such things as art work, woodworking, ceramics, and weaving, and are for obvious reasons carefully selected, with frequent F/O during the first 30 days.

Intensive Treatment Ward:

This ward is an experimental ward in which the patients are engaged in extensive rehabilitation programs. There are 35 patients on the ward. All of the patients are engaged in work details and vocational training of some sort. It is quite apparent by walking into the ward that things are quite different. The atmosphere is somewhat relaxed although security is not relaxed. The patients have decorated the ward room with various paintings of their own including an abstract mural. There appears to be a somewhat quieter relationship between the Correction Officers and the patients than was evident in any of the other wards. We talked with the Correction Hospital Charge Officer John Battista and a Correction Hospital Officer Robert Kipp. In addition to the normal staffing this ward has one Senior Officer on duty during the day with the Charge Officer and an additional Correction Hospital Officer. In addition to the normal activities of ward officers of record keeping, administering medications and other things as discussed above each of the officers on this ward is involved in some form of counseling activities. They conduct what they call group therapy sessions and family therapy sessions in which the Correction Officer is a co-leader with a professional person. (page 6) We did not observe any such sessions while we were at Matteawan. Each of the officers had successfully completed the group experience training program mentioned in the introduction to this written report.

Infirmary:

The Infirmary is staffed very similar to the normal hospital wards and certain amount of their activities are the same. However, there is a

heavy emphasis on assisting the nurse and the doctors in various types of treatment. Some of their duties include technician type functions such as those normally ~~found in~~ performed by an EKG and EEG Technician. Apparently one of the officers is licensed. They prepare special diets, special medications under the supervision of a nurse, they establish recreation procedures and programs on the ward, they are involved in some simple occupational therapy programs such as paint by number sets, bead sets, etc., and in the absence of a nurse perform many of the duties typically found in a Registered Nurse. We talked with Mr. Jack Pullian in the Infirmary who is a Charge Officer. There are 36 patients at the present time, 22 of whom are geriatric patients. Each of the officers on this ward has successfully completed a basic nursing school's course consisting of 84 hours of basic nursing skills training and 36 hours of psychiatric nursing.

Laundry Post:

The laundry area is supervised by a Correction Officer Mr. Al Burka who is responsible for security and safety of all of the patients working in the laundry area in which there are about 23 and of the civilian personnel working there. In addition Mr. Burka assists the laundry supervisor in the performance of his duties and periodically assumes these duties.

Women's Building

Wards 11 and 10 and 8:

Our tour of the hospital included these three women's wards. The wards are staffed very much the same as those in the men's wards except that they handle half the number of patients. The wards we toured had 21 to 23 patients. Ward 11 was described to us as possibly the worst in the hospital. The Correction Officers perform many of the same duties as performed on the men's wards.

On Ward 11 we talked with Mrs. Rinn, Correction Hopsital Charge Officer and

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one Correction Hospital Officer. As we entered this ward we noted the extreme activity of the patients on this ward. The great deal of noise was coming from the day room, order was extremely difficult to keep. None of these patients is permitted to go into the dining room because they are all very hostile. As we moved into the day room area of the ward we noted that three or four women were wearing straightjackets and everything was in a general state of disruption. Mrs. Rinn and the Correction Officer spent most of their time describing this hostile activity of the patients. Apparently the Correction Officers are very frequently attacked by the patients and they frequently must call for help from among the men Correction Officers.

We remained in this ward for about 10 minutes which seemed almost like two or three hours because of the extreme tension felt by myself and I suspect by just about everybody in the room. Even those escorting us around the hospital looked quite relieved when we left this particular ward. It was fairly apparent to me that very little counseling and therapy was possible in this situation. However, my only thought was why anyone would want to work here under such conditions.

On Ward 10 we talked with a Correction Officer Mrs. Marie Zaccaria. She described her duties very much the same as those described in the typical men's wards. She is responsible for assisting the Charge Officer in keeping order, maintaining security, escorting patients throughout the building as required, dispensing medication and for the many housekeeping and record keeping functions performed by other Correction Officers on ward duty. The group counseling activities are not performed by Correction Officers on this ward according to Mrs. Zaccaria. They are the responsibility of social workers.

Ward 8 which is described as an open ward has 22 patients, many of which are occupied on work assignments and on rehabilitation programs. The ward is

referred to as an open ward although from the locked doors this might be an inappropriate description of the ward. We talked with the Senior Correction Officer, Mrs. Grasso. She went through the normal routine of duties that were found in the other Correction Officers. The only unique problem she seems to face is that one of the corridors in her ward must be used by patients under the escort of a Correction Officer moving from other wards to some of the service areas. Apparently this does give her a unique security problem. She also told me that she frequently rotates into the Narcotics Unit at Matteawan State Hospital.

Narcotics Unit:

The women in this Narcotics Unit are not psych~~ot~~ic. In this unit there are four wards. We toured two of them, the Admissions Ward and a typical ward.

In the Admissions Unit we talked with Mrs. Morton, Correction Hospital Charge Officer and Mrs. Prisco, Correction H-spital Officer. Apparently many of the duties performed in the men's and other women's units at Matteawan are basically the same here. However, I sensed a difference in emphasis in the program. While security is a very important part of their duties there seem to be a great deal of interchange between the Correction Officer and the patient. This was somewhat evident while we were on this ward. Both the physical surroundings and the emotional setting were a lot more relaxed and pleasant than elsewhere at Matteawan. The patients were moving around quite freely on the ward in the normal routine of a day. In talking about these young ladies Mrs. Morton, appeared to be an extremely sensitive person. She talked about herself almost as being a substitute for one of the parents of these young ladies. The patients in the Admissions Unit are a generally hostile group and after a short period of time they are moved to one of the other wards in the hospital unit.

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In the other ward we talked with Mrs. Fasulo, Correction Hospital Charge Officer and Mrs. Crabbe, a Correction Hospital Officer. They described their duties again very much in the same manner as other Correction Officers in charge of wards. They did mention some other duties which others did not mention such as searching visitors and escorting patients off the grounds. In talking about the patients she, Mrs. Fasulo, noted that the average IQ of those on this ward is a little above 115. Accordingly, these patients are very active in rehabilitation programs.

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REDRAFT

AUBURN PRISON

On May 18 and 19, 1970 Mike Roche and I visited Auburn Prison and before touring the institution, met with Warden Deegan who gave us an idea of the program being offered at the prison. He made his apologies because the day that we arrived all of the teachers were at a convention in Albany. Consequently, none of the schools were in operation. The inmates were also conducting a talent show and all of the shops were closed. However, we did manage to visit posts that were manned and saw the schools and shops the following day

The service unit has been offering group therapy for about five years. All counseling is done on a voluntary basis and the length of time that an inmate spends in group therapy is up to the inmate himself. At the present time there are about 73 to 83 involved in the therapy program. There are four professional counselors and four COs permenently assigned to serve as co-counselors. The COs undergo a six week training course under a psychiatrist. 27 COs have gone through this program since 1964-65. The COs who act as counselors are selected on their ability to communicate with the inmates and to gain their respect.

Work Release Program:

Under this program some of the inmates are permitted to hold jobs in private industry. They are bussed by public transportation or travel to their place of employment by car and are accompanied by a CO. Many of the inmates are employed in the Syracuse area and must travel by public transportation to get back and forth to work.

Jaycees Program:

This program is similar to the Salvation Army program; they have weekly meetings; toys are picked up, painted and repaired by the inmates and given to needy children in the community.

Inmates also have a program of making bandages for cancer patients.

There is a program to beautify the yards of the prison through the planting

The Dale Carnegie Course for inmates has been conducted for the past 8½ years. There are about 40 inmates involved in this program at one time.

While the prison offers many programs the only inmates who were obliged to take a part in any program are those who can not read at the fourth year level. These inmates must attend school.

There is a chest and checker group in which a CO acts as liaison between the inmates and the people in the community.

They have also instituted a black studies course in their school program. The Warden indicated that there is a waiting list of inmates numbering about 40 or 50 for this course.

Art and Hobby Program:

This program affords the inmate an opportunity to follow a particular hobby either in sculpturing, painting, leather crafts, etc. The prison also maintains a small art and hobby shop where many of the products made by inmates are sold to visitors.

At this point a Lieutenant Rogers and an CO took us on a tour of the institution.

Following are some of the duty posts:

Correspondence:

There are four COs assigned to this office. One CO is permanently assigned to this post, the other three men were stationed here because of injuries or other reasons and will work at this assignment until they can be reassigned to regular duties.

All incoming and outgoing mail must be censored by these CO's. The COs make out a receipt for all monies coming in and deposit the money in the steward's office. A copy of the receipt is sent to the inmate. Each inmate has a stamp card and it is these officer's duties to maintain the balance of stamps in each inmate's account and keep a running record of stamps received and used. They maintain the correspondence cards which lists the approved names of persons

with whom the inmate may correspond. All letters in and out are charged on this card.

Main Gate:

One CO is assigned to this post on each shift on a permanent basis. After a preliminary screening he allows visitors through this gate which enters into the area between the wall and the administration building. The officers having this duty have very little contact with the inmate population.

Front Hall Reception Desk:

One CO is permanently assigned to this position on the 8 to 4 shift. He is responsible for issuing visitors passes. If the visitor name is on the approved list of visitors for an inmate he checks their signature and takes their fingerprints and enters their name in the visitors log.

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He is also responsible for running the hobby shop described earlier, and sells inmates art objects. When visitors leave money for an inmate this CO issues a receipt and turns the money over to the steward. When visitors arrive he calls for inmate. He also makes out tour passes for non-inmate visitors.

Wall Post:

We did not examine the wall post since we had seen one at Green Haven and were told that all wall posts were alike. Posts 4,7, and 9 are manned from 7:50 a.m. to 6 p.m. These are the middle posts. After the population is locked in the cell blocks these three posts are not manned. All the other posts are manned around the clock. The CO's assigned this duty must keep security watch of all areas inside and outside the walls. There is no [illegible] Contact by any of the CO's assigned these posts

Arsenal and Key Room:

This post is manned by COs around the clock and ~~they~~ are permanent assignme The CO on duty is responsible for issuing all keys to the institution and accounting for all keys turned in at the end of a tour of duties. He also maintains all the firearms and equipment such as hard hats, leg irons, handcuffs, supply of gas canniste and masks. The CO on duty on the 8 to 4 shift also acts as a locksmith. This CO controls the gates from the center hall into the prison.

Front Hall:

This post must be manned around the clock. Two COs are permanently assigne on each shift. At night the whole prison will run from this post. A lieutenant is in charge on the shifts from 4 to 12 and 12 to 8. This post controls the gate from the ~~outside~~ Hall to the visiting room and also the gate from the prison into the visiting room. He prepares a daily sick room report, personal leave report, checks time cards to see who ~~was~~ is absent and sends reports to the Warden's office; he maintains a count of the prison population, all inmates going in and out, maintains a record of the work relief men, or inmates going to court or leaving the premises for any rea

Work Release Program:

One CO is assigned to this program from 5 a.m. to 1 p.m. and one from 12 noon to 8 p.m. Because of the great distance that some ~~of the men~~ in the program must travel the inmates are required to get up at 5 in the morning to start their day and very often that day does not end until 8 p.m. The CO with this assignment must ensu

Mitch

that the inmates are fed, lunches packed and that they change from the prison garb to civilian clothing, transports them to and from work and must frisk each of the inmates before they are released and before they are allowed back into the prison. These officers work the front hall while the inmates are out.

Visiting Room Officer:

One CO is assigned this post on a permanent basis from 9 a.m. to 3:30 p.m. Two officers are assigned this post on Saturdays and Sundays. This officer maintains security in the visiting room during visiting hours.

Lower Hall Officer:

This post is manned around the clock and the officers manning this post are permanently assigned. The officer on duty controls all traffic in and out of the institution from the administration building and to and from the yard. He screens out inmates for visits, interviews, sick call, guidance counselor, etc. His only contact is in screening. If an inmate comes up with a problem he indicated he would help if the supervisor were not available but his primary concern is security. This post also handles the public address system throughout cell blocks. Each cell is equipped with a set of earphones and he selects three radio stations to be piped into the cells. At times he will play records, especially for the spanish Population who want to listen to spanish music.

First Aid Officer:

This is a permanent assignment on the 7 to 3 shift where one CO is assisted by two inmates. The sick call slips are picked up from each block officer and typed by the inmate. At 8 a.m the CO picks up the men on his sick call list at the shops or in the blocks and escorts them to the dispensary. He then arranges medical history cards in the order in which the inmate will see the doctor. He indicated that there would be about 50 to 60 inmate daily to see the doctor and about 30 for the dentist. This CO stays with the doctor and a male nurse during the examinations. The dentist stays alone. The Co is responsible for all doctors entries in the medical history cards ~~He indicated that any dental surgery must be entered on the history card.~~ He supervises the inmates in general cleaning and clerical work and calls the male nurse to administer emergency first aid. He indicated that he does provide some counseling to individual inmates when the situation arises.

Sergeant Assignments:

Sergeants are assigned to the yard, the shops, school and kitchen and are responsible for the supervision of the COs in these areas and maintaining security in work programs.

Kitchen:

COs assigned to this duty are permanent assignments. One CO reports at 5 a.m., two COs, one in each mess hall report at 6:30 a.m. one CO at 10:00 a.m. to the kitchen and one to each of the two mess halls. Again at this institution the noon meal is the main meal. The supper is served cateria style between the hours of 3 and 4, during which time the inmates may come in whenever they please to have their supper. There is about a total of 135 inmates assigned to the kitchen and mess hall duties. The day we made the tour there were 54 in the kitchen which includes the bake shop and 44 in each mess hall, each reporting for half a day. The other half day is spent at school. These officers generally supervise the work of the inmates under the civilian cooks and maintain security in these areas. The kitchen officer checks the knife cabinet, issues all knives and checks area for contraband. He maintains constant surveillance over the kitchen operations ensuring that the garbage is taken care of and that the kitchen is cleaned up after each meal. He is responsible for counting the inmates three times daily.

Kitchen Recreation Room:

One CO is assigned to this area to maintain security. Since the work force reports in the early morning and must spend the greater part of their day here , they are provided with a recreation room which has a TV, card tables, checkers, barber shop and showers.

B Block:

This cell block accomodates the kitchen service inmates and a few inmates employed in other offices. There are five tiers with 18 cells to each gallery making total of 180 cells in the block. The CO in charge must open up in the morning and make a count of the block population. He must keep track of inmates' movements

and must call the supervisor to bring keys in an emergency. The CO indicated that many inmates come to the block keeper to seek help with problems. These COs are responsible for preparing a payroll report on inmates working for them. The cells in these

blocks are back to back with a corridor running down the center. The CO must check the ventilators and fences in this corridor ~~which would be the back of the cells and ventilators, fences,~~ etc. The CO on the 8 to 4 shift supervises 15 block porters who are responsible for the cleaniness of the block, ~~and also a chaplain's clerk.~~ He also supervises four inmates who work in the officer's mess. Officers are allowed to bring food in for lunch and the inmates assigned to the mess prepare and serve this food to the officers.

Hospital:

Two COs are permanently assigned to this post on each shift around the clock. They maintain the security of the hospital wing and supervise a crew of 35 inmates. The hospital staff consist of two male and three female RNs. Inmates work as nurse assistants or aides under the training of the RNs. The hospital has a bed capacity of 30 patients. The average patient load is about 10. Most surgical operations and illnesses are cared for at this hospital. The CO is responsible for all narcotics, maintains a count of all narcotics used, the amount in stock at the time his shift begins and what is left at the end of his shift. Nurses get written ~~orders~~ Orders from a doctor for the use of narcotics. The CO must accompany a nurse to see that the patient takes the medication. When no nurse is on duty the CO administers the drug. The hospital includes a small kitchen area and it is the CO's responsibility to order food on a weekly basis. He supervises inmate cooks who prepare the food to feed the help and the patients in the hospital wing. All meat and vegtables are prepared in the hospital, bakery goods are sent in from the bakery.

When the doctor orders a new admission the CO must list the clothing that the inmate has with him, sees that the nurse gets the patient's medical history and is assigned a bed. He then notifies the inmate's block officer and shop officer that he has been ~~retained~~ admitted IN the hospital and also notifies them after the patient has been released. The CO is also responsible for the sanitary conditions of the hospital and must see to the housekeeping duties by the inmates. If an inmate reports to the hospital when a doctor is not present the CO will call the doctor who may order admission over the phone. The diagnosis of the patient's illness is made by a nurse or an inmate nurse. Some psychiatric patients are admitted here and kept under close watch.

The CO must order all special sheeting, pillowcases, operating room linens. He is responsible for maintaining laundry count and a constant inventory of laundry supplies. The CO also supervises a clean up of the operating room as well as the ward. The hospital has its own barber shop which is also supervised by the CO. The inmate barber cuts the hair of the patients as well as the work force and does preps on all patients. Seven of the inmates in the work force live in the hospital one who acts as head nurse, the head cook, four night nurses who are allowed to sleep during the day and one clerk. He orders all supplies for the hospital including drugs from the pharmacy and is responsible for the full operation of the hospital. ~~He reports to Lt. Rogers. The night shift COs report to the lieutenant who has charg of the institution on their respective shifts.~~ The hospital includes a laboratory where all lab work is done by inmates. The CO maintains a count of all needles, syringes; maintains a count of all medical equipment for sterilization and maintains a record of inmates' cell location and work location up to date.

Segregation Block:

The segregation block has a capacity of 88 inmates. At the time of our visit the population in this block was 32. One CO is stationed in the control room where he can control all cell doors. The segregation block is used for inmates who have committed some violation and must be segregated from the rest of the population also for those inmates who feel they need protection from the inmate population. The CO in the control room maintains records and files of the block population and also prepares payroll for the inmate workers. When inmates have been prescribed drugs the CO must administer them. He maintains a log of all visitors in and out of segregation. At meal time a food wagon is delivered to the block and is pushed from cell to cell accompanied by the officer who serves the inmate in his cell. The inmates in this block have an exercise yard on the roof of the block. As each inmate is released from his cell to go up for exercise he is frisked by the CO, leaving the cell and returning. The CO must keep all food stuffs for the inmates.

Shop Officers:

The Plate Shop cuts, stamps and paints all the license plates for New York

is the largest shop in the institution. We saw two floors of this operation. Each floor had three officers assigned to it. One officer having overall responsibility for the security and operation of his area. In Plate Shop #1 the painting area employs 150 to 180 inmates under the supervision of four civilian foremen. The CO must maintain a count of all inmates. He must act as arbitrator when difficulties arise between inmates or inmates and the foreman. The shop area has its own barber shop and the COs are also responsibile for supervision of the inmate barbers. These shop officers escort the inmates from their galleries in the morning, takes them to breakfast, then to the yard for the recreation period ~~[illegible]~~ and supervise their daily recreation and remain with inmates in the industrial shops during the working period and returns them to the block. Since these officers are with the men most of their waking hours they know their crews better than anyone else and are very often called upon by inmates in their group to help solve problems and to give advice. The other shops at Auburn include a cabinet shop where five officers are assigned. This shop manufactures formica office furniture. The tobacco shop, Tetanus Co purchased ~~[illegible]~~ in bulk form. ~~[illegible]~~ broken down and packaged in individual packages. Two officers are assigned ~~[illegible]~~

Schools: The duties of all officers assigned to these shops are about the same.

The school building is on two floors and includes 14 academic classrooms and 13 vocational rooms. It is run on a six period day with inmates attending ½ day sessions. There are about 450 to 500 inmates attending the shop and school area daily. The vocational school includes a barber school, body and fender shop, dental lab, auto mechanic, electrical, radio and TV repair, a general shop whereby the inmates are taught to use various hand and power tools, a sheet metal shop and a tailor shop. Some of the courses taught at the academic school includes biology, drafting, art, music, typing and black studies. The academic school also includes a library and an audio-visual room. The officers assigned to these areas work from 8 a.m. to 3 p.m. One officer is located on the lower floor and patrols that area, three other officers are located on the upper floor. One officer sits at a desk located at a point where the three wings of the upper floor meet. One officer patrols the corridors and a third officer acts as a runner, escorts inmates to and from school, picking up stragglers have

responsible for accounting for all men in the school.

Utility Gang:

One CO is assigned the supervision of a crew of inmates and has responsibil for the general maintenance of sidewalks, roads, lawns, etc. One CO is assigned a crew and is responsible for the maintenance of the Warden's home and grounds. One CO is assigned a construction crew and is responsible for operating the payloade used for snow removal or various types of construction.

Orientation:

One officer is assigned for a three week period for new admissions. All new admissions are segregated in one gallery. The CO in charge escorts this group of inmates around the institution for the three week period.

Bath House:

The bath house contains 68 shower heads. One CO is permanently assigned to this post to see that inmates bathe regularly.

Wall Street Gate:

This post is manned on the 8 to 4 shift and this CO is responsible for all delivery trucks and work crew entering and leaving the Wall Street gate. On the shift between 4 p.m. and 8 a.m. the individual gates are controled by the Wall post. There are two COs assigned this post from 8 to 4. There is a cage area closing off the main gate from the rest of the institution. The CO in charge must make sure tha both gates are not opened simultaneously. Within this cage area there is an auto fuel pump and they also maintain stocks of paint thinner. The CO must make sure that nothing comes in or out of this area without authorization.

When work gangs leave the institution, he is provided with a set of three ID cards for each inmate which includes their pictu e. The CO escorting the crew maintains one, the gate keeper retains one in his files and the wall post gets one. He checks all inmates coming in and out of the gate. INSERT (

All vehicles entering and leaving the institution must drive over a pit. The CO checks underneath these vehicles for any contraband. The second CO on duty in this area must accompany delivery trucks to their destination within the institut No truck is allowed on the institution grounds unless accompanied by a CO. If more than one truck arrives the CO in charge must hold the truck and call for additional

help. Each concern delivering goods to the institution has a card filed with the CO in charge which includes the truck driver's name and address. This card is a record of all trips made by each driver going in and out of the institution. The CO must prepare a written report of truck firms, the driver, license plate number and destination in the institution, the CO accompanying the driver and the time they arrived and left the institution. The CO must also keep records of all inmates leaving the institution. The CO in charge of the crew must present a pass to the gatekeeper. The gatekeeper keeps a count of the inmates who have left the institution and notifies the block if they have not returned by count time. This CO must also maintain a record of all construction personnel working in the institution and records of fuel consumption.

Store House:

One CO is assigned this post and is responsible for the security and supervision of 8 inmates and one civilian butcher. The store house gets orders from the kitchen area, at which time the meat is prepared and all orders delivered to the kitchen. The storehouse receives all deliveries from outside including meat, food stuff, household supplies, industry supplies, school and hospital supplies and clothing. All supplies are delivered in bulk form and the workers break this down for delivery to the various areas.

Commissary:

This is a permanent assignment for one CO who supervises four inmates. The commissary is a very busy area. In 1969 they grossed 260 thousand dollars. They sell all types of food stuffs, notions, bakery goods, confections, shoes and some clothing. There are two storerooms under the supervision of the CO. He must reorder stock every two weeks and prepare receiving reports of goods received.

Inmates are limited to $40 a month for the purchase of articles from the commissary. Each group of men are assigned certain days on which they can purchase. They prepare their order forms and the CO supervise the filling of these orders. The CO is responsible for ensuring that the order forms and the sales receipt balance at the end of the day. On the day that the inmates are coming to buy the steward sends a card down to the store with the inmate's picture showing the amount of money

available to him for the purchase of commissary goods. The CO must maintain an inventory and prepare a report every four months. While this CO does supervise four inmates the commissary was quite busy when we visited it and apparently is very busy all day long, from what we were told and what we were able to observe as we passed the commissary several times during our visit to the institution. Consequently I doubt that the officer assigned to this post would have much opportunity for counseling the inmates under his supervision.

Hobby Shop and Yard Library:

One CO is assigned to this post from 10 a.m. to 6 p.m. This is a permanent assignment. At 3 p.m. the high school is closed and the library is open for workers. The CO supervises 15 inmates in the operation. All hobby materials are purchased through the officer in charge of the hobby shop. The art work is done in their cells. However, after they have completed the work the institution maintains a small store where these articles may be bought to provide the inmate with funds for additional materials.

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DRAFT

Elmira

On Tuesday May 19 Larry Rockwood and myself visited Elmira Reformatory. We first talked with Daniel Damon, the Director of the Reformatory. He briefly described the institution and its objective which is to provide a program of academic and vocational training for the rather young inmates in order that they might be better prepared to go back to society. In addition to the classrooms and shops the Reformatory has three farm areas, one adjacent to the institution, another about six miles away, and the third about ten miles away. Inmates work these farms and must be brought back and forth from the institution each day. Furthermore, the Reformatory has formal rehabilitation programs for alcoholics and drug addicts and has six groups counseling groups.

With regard to the training of the Correction Officers, Mr. Damon stated that he has no formal training program at the institution. Part of this is certainly due to the fact that all new officers that come to the institution have been transferred from other correctional institutions. He noted that ~~and~~ there is a five year wait on the transfer list at the present time. Hopefully by the time a Correction Officer finally makes it to Elmira he has received his basic training.

Mr. Damon gave us a small publication which describes the institution. In addition, during our tour of the Chart Office we obtained copies of daily work schedules. These schedules list the Correction Officer's main assignment for the day along with the various posts he must ~~be at~~ cover during certain periods during ~~for the rest of~~ his tour of duty.

At the conclusion of the interview we were introduced to Correction Sergeant Kehoe and Correction Officer UPDYKE.

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Description of Post and Employee Duties

Information Booth:

Outside of the institution immediately in front of the front gate we observed a Correction Officer whom we did not interview. However, Sergeant Kehoe explained the duties of this post as being responsible for giving information to visitors, securing identification of those who put their car in the parking lot, and generally just being available outside of the institution to help visitors. Our observation of this Correction Officer was that he has a lot of time on his hands.

Front Gate:

Immediately outside the first door of the institution is a Correction Officer in a cage who initially screens all who come past the post. Visitors must identify themselves, state their business, and he sees to it that they are properly taken care of. We observed a great deal of activity around this post although much of it seemed quite routine while we were there.

Lobby:

At this post we talked with Correction Officer Don White. He described the duties of this post as being responsible for all visitors at the institution. His desk is in a room with a number of chairs for visitors ~~to wait~~ waiting to see an inmate or one of the Officers of the institution. All of those who are visiting inmates must be properly identified and fingerprinted prior to going to the visitors' room. Any packages that are to be given inmates must be taken from the visitors at this point and sent to the package room. Mr. White stated that there are a number of problems that comeup in handling visitors because of stories they may have heard or varying moods that they may be in at the time. Under certain conditions he might refuse to let a visitor go to the visitors' room to see an inmate.

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The Visitors' Room:

At this post we talked with Correction Officer Peter Ewanyk. The following is a rough sketch of the visiting room.

Mr. Ewanyk before opening the visitors' room inspects all of the visiting area to insure that nothing has been left there from the previous day. As visitors come to the visiting room he explains to them the institution's rules governing visitors. He attempts to observe the mood of the visitors and the inmates in the room in order to identify potential problems. Such problems could be that the visitor is bringing bad news to the inmate which might result in an immediate or future emotional problem for the inmate or that the conversation is dealing with a potential security problem for the institution. He must insure that nothing is passed between the inmate and the visitor. Such would be very difficult because of the precautions taken prior to the actual visit and the screen between the visitor and the inmate.

Main Gate--Arsenal--Key Room:

At these posts there are generally two Correction Officers. One of them is always in a caged area and is responsible for locking and unlocking a series of three gates. There is a very definite procedure for the operation of such gates and the identification of all those passing through such gates. At the Reformatory this is another very busy post. The volume of traffic through these gates while we were there was quite heavy. Across from ~~Just behind~~ this caged area is the key room and arsenal. At this post we talked with Correction Officer Eugene Harbaugh. The Officer in the key room area is responsible for distributing, receiving and keeping records of all keys in the institution.

He also cuts new keys, overhauls locks, stores and issues handcuffs and leg irons.

In the arsenal which is ~~in the same~~ just below the cages area the Correction Officer is responsible for issuing and maintaining all firearms which include shotguns, carbines, pistols, gas masks, tear gas, and all sorts of things like that. This Officer also must keep records of all Correction Officers taking part in training programs and use of such weapons. Also maintained at this location is an overall emergency plan used in the event of escapes. Under such conditions Correction Officers are assigned to various locations in the community to patrol. Last week they had their first escape in eight years. An inmate took off from one of their farms and was captured a day later. The records at the arsenal indicated well over 100 firearms were issued to Correction Officers at that time.

Chart Office:

In the Chart Office were located the Deputy Superintendent, a Chart Officer who is either a Lieutenant or Sergeant and two Correction Officers. Although I did not talk with any of the Correction Officers regarding their specific duties it was quite obvious that their duties were clerical in nature. They keep records concerning assignments made by the Chart Officer, they keep records concerning cell space, they take care of time records and maintain records as to the number of inmates in the prison. The Chart Officer on the other hand is responsible to the Deputy Superintendent for making all duty assignments.

Chaplains' Offices:

At this post we talked with Correction Officer Bennett. He is in charge of the security of three Chaplains' Offices and the hallway which is used as a waiting area in front of these offices. In addition he supervises seven inmates in cleaning these areas. Generally he just insures that good order is maintained in and around this area.

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Service Unit:

In the Service Unit there are three Correction Officers, one is assigned a post in the hall and the Officer is in charge of security, order in the hall and supervises a couple of inmates in cleaning the area.

Another Officer is responsible for reading and censoring all mail to and from inmates.

A third Officer with whom I talked was Correction Officer Looney. Mr. Looney, for whatever the reason, did not want to talk about his job and he referred me to his supervisor Mr. Barkus, a Senior Correction Counselor. Mr. Barkus told me that Mr. Looney spends most of his time working for him in assigning inmates to work assignments, sensoring inmate mail written in Spanish, interviewing Spanish speaking inmates, assists in the preparation of evaluations in the absence of the Counselor, and assists the Counselors by relieving them of a number of administrative and clerical details. According to Mr. Barkus, Mr. Looney at one time had been a temporary Counselor.

Commissary:

In the Commissary two Correction Officers work with one inmate. They are responsible for distributing various items to inmates and keeping records of the cost of such items in order that books may be balanced. No cash is exchanged. The amount that an inmate purchases is deducted from his account.

Package Room:

At this post I talked with Correction Officer Robert Purdy. There are two or three Correction Officers working at this post at all times. All incoming packages to inmates are opened in front of the inmate and inspected. Those items which an inmate may keep are given to him at that time. Those items which he is not allowed to have are either returned at the inmate's expense or given to charity.

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Photo Gallery:

I did not talk to the Correction Officer at this post. However, Sergeant Kehoe told me that the Correction Officer working at this post is there temporarily until they can fill the Photographer position. The duties of this post involve taking and developing pictures of all inmates coming into and leaving the institution, fingerprinting them, completing a questionnaire concerning the physical characteristics of each inmate, and in addition doing all of the photographic work required at the institution for publicity or whatever.

Cell Blocks:

I interviewed Correction Officers Charles Sharp and Steve Staviski who are Block Officers in Cell Block G. In this cell block there are presently 297 inmates broken into eight galleries, two on each floor. These two Correction Officers are responsible for the security and cleanliness of the entire block. In the morning ~~the~~ six Officers are assigned to count the prisoners in the gallery. Then three Officers take the galleries to breakfast. When they are returned they are locked in their cells until it is time for the inmates to go to their daily assignments. The two Block Officers are responsible for sending the inmates with the proper Correction Officer to such assignments. He then supervises 12 inmate Porters in cleaning the cell block area. They inspect all of the cells regularly searching each inmate's personal belongings, ~~testing~~ testing the bars for any possible tampering; they review all incoming notes to an inmate, some of which might be setting up special work assignments or interviews for them, they prepare work progress reports on the inmates assigned to them on work details, they orient new men to the rules and regulations of the prison. On the average they receive five new men a day.

They are frequently required to talk with inmates regarding their personal cleanliness or the condition of their cell. They must observe the inmates in their relationships with other inmates and report anything they feel is of significance.

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Guard House:

Within the guard house there are two posts, one in front is called the discipline office and the other manned by two Correction Officers in the cell block area.

In the discipline officers' post I talked with Correction Officer Green. At this post Mr. Green performs a variety of clerical type duties involving discipline reports, "lockup" reports, warden's cards, conduct cards, payroll cards, and any number of the various pieces of paper dealing with these reports. In addition he assists the Deputy Superintendent Morrell in conducting "court." This is a procedure whereby the inmate who has been charged with a disciplinary offense has an opportunity to present his case prior to receiving a sentence to the guard house. However, in addition to these duties Mr. Green is assigned guard duty in the mess hall and helps in unlocking the gates and counting the inmates in one of the cell blocks in the morning.

I also talked with Correction Officer Walter Delap who is in charge of the cell block within the guard house. He talked about his job as being one of attempting to rehabilitate the inmates. However, from the tone of his remarks his feeling on rehabilitation apparently begins with hard firm discipline. He does not generally initiate any conversation with the inmates, except in telling them the proper conduct within the guard house. This job appeared to be to me entirely security oriented with rehabilitation being a very minor aspect of the duties.

The cells in the guard house have no beds. The inmate is permitted to lay down on the mattress which is on the floor only at night. During the day if he wishes to lay down and there is little else to do he must lay down on the floor or on his blanket. The Correction Officer must make sure that those inmates who are in the guard house for more than a couple of days get a period of exercise each day.

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Locker Room and Bath House:

At this post I talked with Correction Officer Joseph Cassidy. He described the duties of this post as being in charge of the issuance of all new and used clothing and bedding within the institution. He also receives all such clothing and bedding for laundering, insures that it is processed quickly to the laundry and then he returns such material to the inmate within one week. With regard to the issuance of clothing, etc. it appears to be very similar to a quartermaster operation in the Army.

Mr. Cassidy stated that he is also a group counselor and he has a group which meets once each week. He has not had the 30 hour course in group counseling which other Correction Officers have received prior to their being a group counselor. However, he will shortly graduate from Elmira College with a major in psychology and sociology. In further, in talking about his other counseling duties he stated that frequently some of the inmates with whom he has frequent contact have come to him and talked ~~to him~~ about problems, especially concerning ~~problems~~ their they might run into in talking with the parole board and upon release from the prison. In the operation of running this post he has 18 inmates assigned to him.

While I was talking to Mr. Cassidy activity in and around the area just about stopped because it was lunch time and everybody was in a different part of the building. This ~~sort of~~ lended itself to a more relaxed atmosphere and he started to talk about some of the problems as he sees them as Correction Officer. He apparently is presently on a Sergeant's list. However, in order to accept an appointment he would have to move to Sing Sing. The total salary increase for him would be about $380 because he has 10 years of service and he feels that it is just not worth the expense and effort of moving his entire family. I talked a little bit about pay structures and he viewed this whole Correction Officer pay problem as a very difficult question to solve. He stated that he recognizes a need to give a monetary incentive to those Correction Officers who further their education and

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are performing more difficult duties ~~as a~~/ recognition. He further recognizes that this might not be the popular type of arrangement because of the number of Correction Officers who would not be affected. He also stated that there is a need for more promotion opportunity to the supervisory jobs.

Sergeant Kehoe also got involved in the discussion and another problem seemed to arise to the fore. He has been a Correction Officer and/or Sergeant for 15 years. He recalls that when he came to the Correction Department in 1955 Correction Officers had a starting salary which was among the highest of all of those people working in a prison. Since that time Institution Teachers have received higher pay and particularly Guidance Counselors who are now at Grade 19 have received considerable increases in pay. At Elmira the latter is a particular problem because apparently there is one Guidance Counselor who causes more problems than he solves.

This discussion with these two men was really quite beneficial not only to myself but to both of these men.

Kitchen:

At this post I talked with Correction Officer Fort. Mr. Fort is in charge of the security and / the cleanliness of the entire kitchen area. In this regard he supervises about 60 inmates assigning them to various duties in food preparation and cleaning duties in the kitchen. Some of the men are assigned to him for only certain periods of the day and accordingly he must know where they are when not in the kitchen. He also keeps work records on the inmates for inmate payroll purposes (10¢ a day).

Correction Sergeant Duties:

In addition to Sergeant Kehoe I also talked with Sergeant Haybeck. The two of them stated that the Sergeant's duties include an area of supervision such as: one Sergeant is in charge of the area which includes the shops and the school, another is in charge of the laundry, kitchen, locker room, etc. area.

In performing such supervisory duties the Sergeants must make their rounds inspecting the areas and the officers in the performance of their duties. They instruct new Officers, assist all Officers in handling inmate problems, and generally must insure that all posts are properly covered.

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ELMIRA REFORMATORY

West Yard:

The buildings located in the west yard are the hospital, the school, the armory, which is currently not being used, and six combined vocational, maintenance, and industrial buildings.

Center Gate:

The center gate physically separates the east and west yards. All inmates and trucks must clear this gate which is staffed with three Correction Officers during the day shift and two for both the evening and night shifts. During the day, one Correction Officer covers this post at all times while the other two assigned may be on call escorting an inmate to some other location within the prison or escorting a truck from the main entrance to the kitchen. During the evening and night shifts, one Security Officer will tour the vocational and school buildings conducting a security, fire and safety watch. Again, as during the day, one Correction Officer is always at the center gate.

Machine Shop:

No Correction Officers are regularly assigned to this shop. During the school year, classes are conducted by civilian instructors, and if custodial personnel is required, he may call on the center gate for assistance.

Auto Shop:

Correction Officer, Vincent Maney

The auto shop services and repairs all institutional vehicles, including farm and fire equipment. Five inmates are assigned to this shop, all of whom have completed the auto maintenance class. Mr. Maney, a mechanic by trade, supervises the inmates, assigns work, assists them when necessary, and is responsible for the quality of the work produced in the garage. This is a regular assignment and this post is covered only during the day shift. He is currently involved in Group Counseling,

and meets once a week for approximately one hour. He mentioned that the officers taking part in this program have no monthly meetings to discuss mutual problems and group techniques as they do at Wallkill.

Safety Officer:

Correction Officer, Ronald Dunn

Mr. Dunn is also the Fire Chief in charge of a fire company consisting of 5 pieces of equipment and Chairman of the Safety Committee. His responsibilities encompass not only the Reformatory, but also the Reception Centers and the farm buildings located in Big Flats and Horseheads. During the day, Mr. Dunn conducts a safety tour throughout the institution visiting the school, hospital, and other buildings located on the compound. He checks emergency lights, extinguishers, locations of hazardous materials with an eye toward elimination of any apparent or potential fire or safety hazard. His aim is to make all in the institution, both staff and inmates, safety conscious. ~~conscientious~~. The Elmira Fire Department responds to each fire call at the prison or reception center. Mr. Dunn is responsible for a quarterly report on all accidents or fires in the institution, as well as an evaluation of the problem and a proposal ~~program~~ to correct and avoid any further problem. He sees that all inmates and instructors working in the vocational shops are adequately protected with safety goggles, gloves, and that they are following prescribed safety policies. The Fire Chief is on 24-hour call.

Shop #6--Maintenance Shop:

The maintenance shop is made up of seven utility gangs: carpenter, electric machine, glazier, steamfitting, inside industrial maintenance, and earphone. Each gang is supervised by a civilian employee with the exception of the earphone shop. Included in the maintenance shop is a store of materials--paints, lumber, electrical supplies, plumbing supplies and fixtures, and a wide range of tools to cover any need.

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I talked with Correction Officer, Joseph Almon, inside utility man, who is responsible for assigning work orders to the appropriate work gang, checking out materials and tools, and maintaining order and security in the maintenance shop. Twenty-one inmates are assigned in the morning and nineteen in the afternoon to the seven work gangs. Mr. Almon is a relief man, and this is a regular assignment for him.

Earphone Shop:

Correction Officer, Leyland Greene

The prison has a central radio system which pipes music to all cells. As open sets are impractical, earphones are issued to all inmates through this shop and are returned when the inmate leaves the institution. This shop is responsible for radio repair, the making up of new earphone sets, replacing fuses, repairing feed lines, and the maintenance of all radio equipment. Six inmates are assigned to this shop, all of whom have reported to have completed the vocational course in electronics. The men in this shop must also be able to run and maintain a movie machine. Mr. Greene, as all Correction Officers with regularly assigned inmates, is responsible for writing a pre-parole report on all of his charges covering the quality and quantity of work produced, attitudes, how the inmate works with and ~~without~~ direct supervision, how he gets along with other inmates, and so forth.

Outside Sergeant:

Sergeant Fessenden

The Sergeant is responsible for all outside security, including six wall posts, three farm locations, and all outside gangs. One Correction Officer is assigned to each of the gangs which have been categorized as follows: the Switch Gang unloads coal; Lawn Gang, responsible for the care of the grounds; Outside Utility do utility maintenance jobs; Barn Gang, work in the dairy barns;

three Farm Gangs do farm work on the three farms; Residence Gang, maintenance of Superintendent's residence. The Correction Officer assigned to the information desk at the entrance also reports to the Outside Sergeant. Sergeant Fessenden supervises a total of 15 Correction Officers during the day shift.

The Hospital:

The hospital is a three-story brick building located on the far western corner of the west yard. The ground floor is devoted to administration and outpatient departments. The second floor has five single and two double rooms, three wards, and a major and minor surgery. The third floor is currently not in use for any other purpose than the blood bank.

Hospital Officer--Correction Officer, Thomas Magno, is responsible for the general maintenance, housekeeping, and security of the hospital. He supervises six porters who empty bedpans, clean floors and windows, and do general utility chores around the wards. He keeps the keys for the safe and the drug room, and in the absence of ~~an authorized~~ a nurse, he may dispense on ~~an~~ authorized order, needles or drugs, which must be ~~logged out~~ recorded & registered in a log. He sees that inmates follow the instructions of the professional staff, and when discharged, he clears the inmate with the Chart Room. One other Correction Officer, Phillip Sbedico, is assigned to a security post on the second floor. He is responsible for the supervision of eight inmates who are also involved in general maintenance and housekeeping chores. Within the three wards, he sees that the patients abide by the rules of the particular ward, whether or not they can get out of bed, smoke, walk around, and the like. The three wards located on the second floor are Ward I with 15 beds for post-surgical or patients whose illness has been diagnosed and treatment is being affected, Ward II with 16 beds is the admittance ward, and Ward III with 12 beds is for isolation cases. One Correction Officer is assigned to the hospital for the second shift and two to the third

shift whose responsibilities are primarily those of security. The hospital is also responsible for the care of the campmen from Camp Monterey and the Reception Ctr.

The School:

The School ~~officers~~ instruction in general academic training from the illiterate level through high school regents diplomas. During the school year, two Correction Officers are assigned to the school whose responsibility it is to maintain order and supervise a group of inmates performing general housekeeping and maintenance work. I talked with Correction Officer, Mr. Waite, who is stationed on the first floor of the building. In addition to the controlling of groups entering and leaving the school building, he acts as the Truant Officer following up on any unauthorized absences from class. One other Correction Officer is assigned to the second floor, whose ~~prime~~ responsibility is to maintain order on this floor ~~that of the maintenance of order~~. Mr. Waite is also in charge of the Address Room which contains telephone directories from all the major cities across the State and from which the inmates may draw names and addresses of prospective employers. In the summer, Mr. Waite is a relief or double-X man covering for vacations, absences, and the like. He is responsible for the supervision of 13 inmates working in the school.

Kitchen--The Creamery:

Correction Officer, Francis Maloney

The creamery pasteurizes approximately 1900 pounds of milk a day and manufactures ice cream several times a week. Mr. Maloney trains and supervises six inmates in the various jobs done in the creamery, each man having an opportunity to learn each job. He also supervises inmates working on the serving line at the noon meal. He reports on milk and ice cream production and is responsible to see that proper sanitary conditions are maintained, as they are checked periodically by the County Health Board.

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Mess Hall:

I talked with Correction Officer, Joseph Bednarchik, who is the late mess hall officer working the 9:30 to 5:30 shift with the assistance of one other Correction Officer. These two men are responsible for the training and supervising of 24 to 30 inmates who serve food on the line. Approximately 670 inmates are served by this crew at each meal. After the meal, the serving area and tables are thoroughly cleaned and any leftover food is returned to the kitchen. The Correction Officer working with Mr. Bednarchik was Kenneth Schwab, who is the RDO relief officer (regular day off). The mess also serves the inmates from the Reception correction center located next door.

Post #8--Outer Cage:

Correction Officer, Edward Updyke

This post is considered to be a sensitive one demanding a Correction Officer with a broad knowledge of the institution, as well as a pleasant but firm manner in meeting the public. He greets all people entering the institution. He checks for arms, cameras, and other contraband; sets up interviews for salesmen, and others without appointments wishing to conduct business within the lawyers; and clears all visitors to the reception room. This man must be able to talk to people and make a good impression on the general public entering the institution, as this is, for many, the first exposure that they may have to a Prison person or to a member of the custodial staff. Mr Updyke has approx. 10 years service at this facility and was assigned to guide me through the institution.

DRAFT

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Elmira Reception Center

On Monday, May 18, Larry Rockwood and myself met with Mr. Chester Owens, the Director of the Elmira Reception Center. We briefly discussed the activities of the Correction Officers in regard to the various programs conducted at the Reception Center.

Mr. Owens stated that the inmates at the Center are generally between the ages of 16 and 21 and are at the institution for eight weeks. He described the institution as a diagnostic center. During the eight week stay, each inmate is tested, attends an education program consisting of academica and shop activities and takes part in a gymnasium program. During such activities, the inmate is observed and evaluated by the various program people ~~working in these activities~~ including the Correction Officer.

At the conclusion of the evaluation period, a formal report is prepared by the Medical Doctor, Psychiatrist, Psychologist, Vocational, Academic and Physical Education Departments, the Chaplain and the Correction Officer. This report attempts classifying the inmate, identifying some of his problems and recommending a rehabilitatic program for him. The Classification Board meets once a week and consists of the above mentioned employees. Copies of some typical reports are part of the reports, recommends the time to serve, the treatment, training, rehabilitation to,

At present, the inmate population of the Reception Center is approximately 200. It has a capacity of 400, however, the population varies considerably from month to month.

Mr. Owens had available for us a copy of a recently published Manual for New Personnel. This manual includes a complete description of the objectives of the institution, a description of each major department of the institution including the Custodial Department. The description of the latter includes typical work assignments for the various posts manned by Correction Officers. Accordingly, during our interview with

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the Correction Officers, we did not go into as much detail regarding their duties and responsibilities as we did in other institutions. We talked more with them about the programs they were involved in and their relationships with the inmates. In addition, Mr. Owens gave us copies of reports prepared by the various employees of the institution on six inmates. These reports give us a picture of the Correction Officer's role in the classification of inmates. With regard to the latter, there are (17) Correction Officers of a total of (52) who serve as "Company Officers" and who participate in the classification and program planning activities.

Mr. Owens talked about the education and training programs for Correction Officers. In essence, he stated that there are no formal training programs conducted at the Reception Center for Correction Officers. All officers apparently have come from other institutions where they have participated in the Dept formal training programs of the Albany Training Academy. However, he did state that he encourages officers to attend college after work hours on their own time. In this regard, he is associated with Elmira College and has assisted in setting up a program in Correctional and Police Science. He stated that because of the nature of the institution, no group counselling or discussion programs have been initiated. At the conclusion of our interview, Mr. Owens introduced us to Correction Officer, Jack Smith and Correction Sergeant, Reigh. Mr. Rockwood went with Correction Officer Smith and I with Sergeant Reigh.

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Description of Post and Employees' Duties

As mentioned in the remarks above, the following will not be in any great detail.

Front Gate Post:

Page 128-129 describe in ~~great~~ detail the duties of the officer at the Front Door. Very briefly, however, he is the first person encountered by a visitor and accordingly, he must be able to handle such visitors, have them identify themselves and fingerprint them and then refer them at an appropriate time to the visiting room. In addition to this, he is in charge of admitting new inmates to the prison by following very explicit procedures and directions. He also is in charge of the security and distribution of keys and also in charge of the security of a small arsenal.

Cage Officer:

The duties of the Cage Officer are listed in ~~great~~ detail on Page 130 of the manual. This officer is in a cage where with levers he locks and unlocks a series of three metal gates. There are explicit procedures which he must follow in permitting people including inmates through the gates. His job is almost exclusively security oriented, there is very little contact with visitors or inmates.

Receiving Company:

At this post I talked with Correction Officers Don Stebbins and Robert Ryan. The Receiving Company is on the first floor of a four tiered cell block. Presently there are (86) inmates in the Receiving Company. These inmates stay in the Receiving Company for a total of two weeks during which time they are oriented to prison life and is subjected to a ~~variety~~ of psychological testing. It is the duty of the Correction Officer in charge of this company to break the inmates in. They have to set a proper tone in

order that the inmate gets off on a proper foot. They prepare reports on inmates although not in the same form as those which become part of the inmate's Classification Board File. I would almost compare the duties of Correction Officer here to those of a First Sergeant who receives a group of new recruits. Many housekeeping details must be taken care of and it is the duty of the Correction Officer to insure that the inmates have their needs taken care of.

In addition to the Receiving Company, there are five cells on the first floor which are used to segregate discipline problem inmates from the rest of the inmates and there are (13) cells available for inmates requiring close supervision. Many of these men have emotional problems.

While I was on the Receiving Company floor, it was suggested that I talk with a couple of the inmates who were in these (13) cells. So I did. The inmates talked a little bit about their problems and a little bit about their relationship with the Correction Officers. Admittedly their experiences with the Correction Officers were not always very pleasant. However, in each case, the inmate gave credit to the Correction Officer in helping to solve at least recognize their particular problem. One of these men had an emotional problem and a psychiatrist had recommended that he be sent to Matteawan State Hospital. Both Correction Officers felt this was not the correct institution for this inmate and based on their conversations with the psychiatrist, convinced the psychiatrist to review the case again. Such was done and the committal order to Matteawan was rescinded.

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Elmira Reception Center

Company Officer--Correction Officer, Jack Smith

The duties of the Company Officer are detailed on Pages 139 through 147 in the Manual for New Personnel.

Generally, within the custodial staff at the Reception Center, the Company Officer is identified as the most responsible position in the diagnostic process being directly involved in the classification program for all inmates. As a member of the Classification Team, he is responsible for producing the Custodial Adjustment Report for each member of his Company which is incorporated into the inmates Classification and Chronological Record. This report, a copy of which is attached, notes something of the inmates personality, attitudes, his adjustment to supervision, identifying potential security problems in an inmate, how he cares for himself and his cell, how he gets along with other members of the Company and other Correction Officers, who he associates with and his interests and desires for the future. The Company Officer appraises the inmates prospects for adjustment in future institutions, indicating the amount of supervision required, as well as his interests, if any, in self improvement. The Company Officer must know all the inmates in their Company, their background, their family relationships, any previous trouble with the Law, nicknames, friends, and the like. Attention is also directed toward gang membership, whether or not they have used drugs, and religious beliefs, if any. He must be able to draw them out in private conversation and interview in an attempt to identify their problems and desires for the future.

The Company Officer, through his orientation presentation and involvement in all activities of the Company, probably exerts the greatest single influence on the attitudes of the inmates, as well as the success or failure of their future stay in prison.

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The Company Officer is identified as a person who is willing to accept extra work assignments, in addition to his regular security responsibilities. He must be able to write and express himself well, be alert, friendly, yet firm.

The skills exercised by the Company Officers are unique and demanding, as compared to responsibilities of this class observed in other institutions. The development of their skills appears to be wholly on the shoulders of the Correction Officer working this assignment and all I spoke to took this challenge very seriously. The Reception Center Officers know in-service training of any kind in this regard. The total initiative for any improvement in performance has been individually assumed, most having involved themselves in evening courses offered by colleges in the Elmira Area.

Many appear to go beyond the regular program in an attempt to help the inmate. Mr. Smith, for example, distributes literature (approved) that he has accumulated from various sources covering the problems of drug addiction. This material is distributed to the inmates on a voluntary basis but he takes the opportunity to discuss the contents with the inmate to see if it has been properly read and understudy. In regard to the drug problem, it appears that the majority of those passing through the Reception Center have used drugs at one time or another, with six out of seven of these people using heroin.

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MEMORANDUM

July 17, 1970

TO: Mr. Hanrahan

FROM: Mr. Soeller

SUBJECT: Record of meetings held in connection with Correction Officer Salary Appeal

* * * *

July 14

Participants

Dr. T. Norman Hurd, Abe Lavine, John Corrigan, C. M. Hanrahan, Bertrand J. Galvin, Alois J. Soeller

The meeting began by a presentation by yourself of the three alternatives available to us in making a decision.

1. reallocate one grade
2. deny the application
3. reallocate all present incumbents to the next highest grade and institute a two level Correction Officer Series with the first level being Grade 12

The type of assignment would govern whether or not a Correction Officer would be at the first or second level.

Alternative #2 was rejected unanimously. Alternative #1 had many disadvantages including but not limited to those related to our being forced to do something because of a fact-finders report. Dr. Hurd and to some degree John Corrigan showed a great deal of enthusiasm for the two level Correction Officer approach. Abe Lavine, while he agreed with such an approach, had reservations about incorporating the two level approach into the decision. He would have preferred a reallocation then a statement to the effect that a classification study would continue. Both you and Dr. Hurd disagreed and seemed to have persuaded Abe that this approach would not work.

At this time it was felt that we should talk with the Correction Department officials and following a phone call we went to Commissioner Paul D. McGi...is' office and the six of us met with him and Harold Butler. You again briefly presented the alternatives available to us and very briefly reviewed the discussions of our just completed meeting in Dr. Hurd's office.

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Again the two level Correction Officer approach was described as a just recognition of the duties actually performed by such employees. Mr. McGinnis showed a great deal of reluctance to comment other than say that such an approach would give him many administrative problems. He did not indicate a single problem at this meeting. In order to let him and his staff review the proposal, we adjourned until the next day at 4:00 p.m.

July 15

Participants

Dr. T. Norman Hurd, John Corrigan, Abe Lavine, Jim Northrup, Paul McGinnis, Harold Butler, C. M. Hanrahan, Bertrand J. Galvin, Alois J. Soeller

The meeting began with Paul McGinnis stating that of the three alternatives presented to him he prefers a straight reallocation. He again mentioned, without any specifics, that the two level approach would give him many administrative problems. He concluded his very brief statement by saying to the effect that it was your decision and he will try to live with it.

It was at this point that Dr. Hurd's whole approach to this question seemed to take a 180° turn. He talked about the problems of administering a two level plan in approving transfers from one institution to another and in appointing to the level II positions by seniority. This discussion continued around the table for a long time. It was clear from such discussion that everyone felt that the two level approach was the right thing to do but that no one was willing to do it, the excuse being "the administrative problems in implementing such a plan". Somehow the discussion got around to an education differential which apparently in a general sense the Department of Correction indicated it could live with. Mr. Galvin pointed out that if the Department could implement that type of a plan it would have less problems with our proposal. This plan was also discussed at some length. However, again it was clear that Dr. Hurd, Abe Lavine and Paul McGinnis were pressuring for a straight reallocation.

Just prior to the conclusion of the meeting Mr. Galvin suggested that the concept of a two level approach might be salvaged through the utilization of a trainee plan. There was no swell of enthusiasm among the other participants at this suggestion. However, it was agreed that we would meet again on Friday to discuss such a proposal.

July 17

Prior to our meeting on July 17, you met with Bert and myself to discuss an approach to the meeting. We agreed that we should make every effort to save the two level plan and it would be best accomplished by incorporating in our decision to reallocate the Correction Officers a very clear and concise statement which in effect states that we have found more

than one level of work among the Correction Officers and that if it were not for some administrative problems such a plan would be implemented. Further the statement should indicate that every effort will be made to overcome such problems so that the plan can be implemented quickly. Two draft decisions were prepared incorporating this concept.

Participants

John Corrigan, Abe Lavine, Jim Northrup, Paul McGinnis, C. M. Hanrahan, Bertrand J. Galvin, Alois J. Soeller

You opened this meeting by presenting your decision to the participants stating that they have a choice between the way in which the decision is worded such as exists in the two drafts you presented to them.

Surprisingly enough everybody agreed that the decision should contain such statements as were in the drafts. Abe Lavine had some observations toward expanding our reasons for taking such action. You ~~hoped~~ for a short clear statement. No one appeared to have any basic disagreement. It was agreed that a final decision should be prepared in final form no later than Wednesday. Accordingly, we agreed to meet on Wednesday morning at 9:30 in Dr. Hurd's office to finalize the decision.

Principal Classification and Pay Analyst

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An application was received on April 30, 1970 from Council 82, AFSCME for the reallocation of Correction Officer, Narcotic Correction Officer, Correction Hospital Officer and Correction Youth Camp Officer and several supervisory levels in each series. In conjunction with this application and to obtain up-to-date information regarding the duties and responsibilities of these classes, staff members of this Division visited eight correction and five narcotics facilities. In addition, information was gathered at formal hearings conducted on June 30 and July 1. We have completed our review of all data furnished including briefs in support of reallocation, the fact-finders report, exhibits, our field study and hearing reports.

This information, when combined with the findings of review of previous applications which were disapproved, constitutes a record which shows a clear trend in the Correction Officer from a purely custodial role to one which makes significant demands on the Officer to influence inmate behavior through advice and counsel. Although not readily discernible in earlier studies, this trend has accelerated in the past few years and now affects the work of these positions to a degree which can and should be recognized through salary reallocation. The comparatively new class of Narcotic Correction Officer also has this dual responsibility and should be treated similarly.

However, the principal significant effect of this trend is that it has divided the work of the entrance level classes in each of these series into two distinct levels. The great majority of the jobs are on the upper level and involve continuous inmate contact which provides the opportunity for influencing the inmate's conduct and his progress toward readjustment to a useful and productive life. For this kind of responsibility, we are persuaded that Grade 13 is a more appropriate rate of compensation. The lower level involves assignments in which the incumbents have little or no inmate contact and consequently have virtually no opportunity to influence behavior and, as such are appropriately compensated at the present Grade 12 rate. When this finding was discussed with responsible officials of the agencies involved, there was no serious disagreement as to its accuracy. Therefore, it appears that this significant difference ought to be recognized in the framework of new classifications. However, the same discussions clearly indicated the administrative difficulties which would be involved in developing and implementing such classifications at this time. Accordingly, we have issued the following reallocations applicable to all incumbents in these classes (as well as the several supervisory classes) so that the more responsible work will be compensated without delay. It has been agreed by all interested parties that further discussions will be expedited in order to find a solution to these administrative problems which impede what appears to be the

Recommendations Resulting From Evaluation of Survey Data - Correction Officer, Narcotic Correction Officer, Correction Hospital Officer and Correction Youth Camp Officer Series

In evaluating classes in these series it was apparent to us that in all but the Edgecombe Rehabilitation Center, employees regard their jobs as careers in a security and rehabilitation atmosphere. This is evidenced by their initiative in obtaining more education, their apparent interest in their job and good relations with inmates and patients and the many years the average officer has spent on the job. This, combined with the problems outlined in the attached evaluations of each series lead us to believe that we must evaluate these jobs within the framework of a career minded employee. Accordingly, the overall recommendations will address themselves to the facts (duties and responsibilities and problems found) within this career framework which will attempt to recognize the various levels of duties and increases in skills and abilities acquired through the use of a planned training program and experience on the job.

Judgments similar to those made above cannot be made of employees in the Edgecombe Rehabilitation Center. There are many contributing factors to this. First of all Edgecombe unlike other NACC facilities is primarily a reception center with little stabilization of its resident population. There is a continuous turnover of residents, a lack of facilities as compared to other NACC centers needed in the rehabilitation process, over crowded conditions and the claim that there is insufficient manpower to properly staff the facility. This seemed to set morale at a much lower level than in the Correction institutions or other NACC facilities studied. Generally there appeared to be less of a feeling toward the rehabilitation of narcotic addicts by the officers at Edgecombe than at other facilities. However, it would be impracticable to attempt to separate this group of jobs from the others because of the many similarities in duties and responsibilities, organization and overall

Entrance Level:

Our evaluation of the survey audits indicates that there are three distinct levels of performance within each of the titles Correction Officer, Narcotic Correction Officer, Correction Hospital Officer, and to some extent Correction Youth Camp Officer. In making a recommendation for distinguishing in grade level between these classes, it was necessary to assume that Grade 12 is a proper grade for the first level within each series. Any assumption that it should be at a lower level appears impracticable and very difficult to illustrate. The following are the distinguishing characteristics of each level of performance.

Level I:

Typical of assignments at this level involve duties and responsibilities dealing almost exclusively with security such as gate post, wall posts, night custody, key room, visitor area, package room, hall posts, etc. It would appear that this level is properly allocated to Grade 12 based on the Grade 12 allocation of Park Patrolman and our previous understanding of the Correction Officer's job which appears to be exclusively security oriented.

Level II:

Typical of assignments at this level are officers who perform security duties as a major responsibility but who also directly supervise inmates in a work/or recreation oriented situation at least half of the time. In addition to such supervision, officers must, typically, prepare routine progress evaluations of each inmate assigned to his supervision. Also included at this level are officers in the Narcotic Addiction Control Institutions and at the hospitals for the criminally insane who are ward supervisors during the night shift.

A one-grade differential between this level and the Level I would appear to be sufficient to recognize the increased responsibilities of the job and the skills necessary to supervise a group of inmates.

Level III:

Typical of assignments at this level are officers who actively participate in the classification process of new inmates at a reception center or one who is engaged for a substantial portion of the day in an organized, formal counseling program or who is actively involved full time in an intensive rehabilitation ward, such as exists at Matteawan State Hospital.

Based on our observations this latter class should be quite small in number and is designed to recognize the increased skills and abilities required of those officers who actively are engaged in the rehabilitation program of each Department. Accordingly, I recommend that this class be equated to the Senior Vocational Instructor and Senior Institution Teacher classes at Grade 15. For the most part, promotion from Grade 12 to Grade 15 is fairly automatic in the latter two series.

Comments concerning minimum qualifications suggested for each level and for the scope of the examination for each level are contained on the attached chart.

Ward Supervision:

In both the Narcotic Correction Facilities and in the State hospitals for the criminally insane, there are positions assigned to supervise other officers and a group of from 25 to 50 patients. In the Narcotic Addiction Control Commission there is a Narcotic Correction Charge Officer, Grade 14 assigned as this ward or floor supervisor on each shift. In the Correction Department a similar function is performed by a Correction Hospital Charge Officer, Grade 14 on the day shift and a Correction Hospital Senior Officer on the evening and night shifts.

The first evaluation that must be made is whether or not there should be the same level supervisor on each of the shifts. During both the day and evening shifts there is a great deal of patient activity. They must move to and from the mess hall, from the ward area to the day room, to recreational areas, to shop areas and to many other service areas, including work details. In addition, officers on this shift must give medication to the patients. During the night shift all activity is at a minimum. For the most part, patients are asleep and there is no activity at all. However, it must be conceded that the behavior of the patients or residents in each of these institutions is unpredictable. However, on balance it is felt that there should be a Charge Officer during the day and evening shifts and an officer at Level II supervising a ward at night.

With regard to the grade level for the Charge Officer, it would appear that Grade 15 is appropriate. First of all, it is consistent with the Grade 13 recommended for Level II above and places this function on a par with the specialized duties and responsibilities of an officer at the III level. Furthermore, the Charge Officer on duty at night in the Narcotic Addiction Control Institution should be considered for the II level. In addition, the Correction Hospital Officers in the Correction Department should be reclassified to Correction Hospital Charge Officers for those working the day and evening shifts and Correction Officer II for those working the night shift.

Zone Supervisor:

In the Correction Department, Correction Sergeants, Grade 15 supervise a group of Correction Officers and inmates assigned to a given area of the prison or reformatory. In 1966, when Correction Officers were reallocated from Grade 11 to Grade 12, these positions were not reallocated. The resulting three-grade differential seems to have added to the problem of providing an adequate increase in salary to a Correction Officer upon promotion. One of the most frequent comments from Correction Officers who are on eligible lists was not only the small number of supervisory jobs to which they could aspire, but also the relatively small increase in pay they would receive upon promotion. In order to remedy this, and to reestablish the previous relationship between the Sorgeant and the "journeyman" Correction Officers (proposed level II), and to establish a reasonable relationship between the Correction Sergeant and the III level, it is recommended that this class be reallocated to Grade 17.

A review of the staffing pattern of Correction Officers to Correction Sergeant shows that for each position in the latter class there are 25 Correction Officers. In some institutions this ratio becomes even larger; i.e. Catskill Reformatory 1:35 and Attica Prison 1:37. Such a large number of entrance level positions for each first line supervisory position is inconsistent with our treatment of other classes in related and other series. It is recommended that we meet with officials of the Correction Department and when appropriate the Division of the Budget to review the feasibility of increasing the number of Sergeant level positions. Areas of discussions should include reducing the scope of supervision in certain locations during hours of general activity and special assignment in areas of training and rehabilitation.

In our review of the Narcotic Addiction Control Facilities, it was noted that some of the Narcotic Correction Charge Officers were performing duties similar to those of a Correction Sergeant in supervising an area of the institution. It is recommended that in these cases we meet with officials of the Commission to discuss our findings and identify those jobs which should be reclassified.

Shift Supervisor:

In the Youth Camps the class Correction Youth Camp Assistant Supervisor is used essentially as a shift supervisor. This class is presently equated with Correction Sergeant and should continue to be so equated. Accordingly, Grade 17 is recommended.

In each of the other three series of jo[illegible]ft supervisor is allocated to a different grade level; Correctio[illegible]ant, Grade 18, Correction Hospital Supervising Officer, Grade 17 and Narcotic Correction Supervising Officer, Grade 16. It is true that within each of these series there are varying numbers of inmates or patients and of officers. However, this also is the case within the single series Correction Lieutenant. Basically, the job in each of these series appears to be the same. The incumbent has responsibility for the security and custody of the institution population on a given shift and, as such, they would appear to warrant the same allocation. Using the Correction Officer Series as a base from which to work, it would appear that in order to maintain existing relationships and to provide a reasonable increase in salary upon promotion, the Lieutenant should be reallocated to Grade 20 with the other classes in this category also reallocated to Grade 20.

Chief Officer:

In a situation similar to that found among shift supervisors there is no consistency in the level of the Chief Officer; we find Correction Captain, Grade 20, Correction Youth Camp Supervisor, Grade 20, Correction Hospital Chief Officer, Grade 19, Narcotic Correction Chief Officer, Grade 18. With regard to the latter, an evaluation prepared by Michael Roche, and agreed to by George Smith, points out this job should be equated to Correction Captain. In addition, review of the Correction Hospital Chief Officer class indicates no substantial difference between it and these other classes. Accordingly, they should all be allocated to the same level. It is recommended that they be reallocated two grades to Grade 22.

Security Program Planning:

Classes such as Assistant Deputy Warden, Grade 22, Correction Assistant Deputy Superintendent, Grade 22, Correction Hospital Security Supervisor, Grade 22, Deputy Warden, Grade 25 and Correction Deputy Superintendent, Grade 25 should be reallocated two grades to maintain present grade differences with their subordinate staff.

Training:

Correction Department

With the exception of the federally supported training program at Matteawan State Hospital, the Correction Department presently sponsors two training programs for its officers:

1. Basic Training--This is a three week training program at the Department's training academy which is designed to orient new officers to the Department and to give them some knowledge of the basic techniques and skills necessary in the custody and security of inmates.

2. Group Counseling--This is a decentralized program run in accordance with the needs of the director of each institution. Basically the program consists of a 30 hour course given by a psychologist. In addition the officer works with an experienced counselor in the role of a co-counselor in a group session until he is considered sufficiently capable of taking over his own group. This training is available only to those officers working on the day shift and to those officers who volunteer. Only at Wallkill Prison did we find a formal program of "follow-up" training. This training took the form of monthly lectures and discussions for those officers engaged in the counseling program.

In a memorandum of June 14, 1965 from Paul D. McGinnis, Commissioner of Correction, to all institutions and Division heads concerning the training of all personnel, a very comprehensive training program was outlined. There was no evidence during our field survey that such a program has ever been implemented. However, the major components of that program probably could be used in conjunction with the suggested training for officers as recommended in this evaluation.

Narcotic Addiction Control Commission:

The basic training programs of the Narcotic Addiction Control Commission are somewhat similar to those of the Correction Department. They have a central school or academy to which all their officers are sent for an orientation to the Department's programs and to obtain some knowledge and skill in the custody and security of its residents.

The counseling training program is decentralized to each institution. Basically it involves the training of selected Narcotic Correction Officers in group counseling techniques. The training involves a series of discussions and lectures by the professional staff along with experience as a co-counselor in group counseling situations.

At Manhattan Rehabilitation Center it was noted that the Director instituted certain in-service training programs in order to give some minimum skills to a new and very inexperienced staff. Although the Commission has some guide lines regarding periodic in-service training programs it was noted that the large numbers of new employees and the many problems besetting the Commission have prevented any uniform implementation.

Attachment

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[illegible] Officer, C-12 [illegible] Charge Officer,	Correction Officer II, C-12 Correction Officer III, C-13 Narcotic Correction Officer I, C-12 etc.	[illegible] level while leaving others [illegible] Therefore all should be reallocated [illegible] with positions involving only [illegible] should be examined. All [illegible] employed at the I level who [illegible] short training, a change of [illegible] appropriate post and completion of an [illegible] officer at the II level who either [illegible] can no longer [illegible] move to a I level post with no [illegible]
	Correction Officer III, C-15 Narcotic Correction Officer III, C-15 etc.	Promotion by examination from the II level on suggested minimum qualifications [illegible] Dept. training in rehabilitation and [illegible] plus 12 college credit hours in criminology, penology and social services - this level need not be implemented immediately.
[illegible] Correction Officer.	Eliminate class.	Employees on the [illegible] shift would be [illegible] to Correction Hospital Charge Officer, [illegible] Plan. Shift employees would [illegible]
[illegible] Hospital Duty Officer.	Correction Hospital Charge Officer, C-15	Reallocate all employees in title.
[illegible] Correction Hospital Charge Officer, C-15	Reallocate all employees in title [illegible] with MACC officials to identify those positions in class which appear to be comparable [illegible] Correction Hospital level. Such positions may, should be reclassified to [illegible] title at a higher grade.

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esent Title and Grade	Proposed Title and Grade	Proposed Plan for Immediate Implementation
rrection Sergeant, G-15	Correction Sergeant, G-16	Reallocate - See report on proposed meeting to expand use of title.
rrection Youth Camp Supervisor, -15	Correction Youth Camp Supervisor, G-16	Reallocate.
rrection Lieutenant, G-18 rrection Hospital Supervising Officer, G-17	Correction Lieutenant, G-20 Correction Hospital Supervising Officer, G-20	Reallocate. "
CC Correction Supervising Officer, G-16	NACC Correction Supervising Officer, G-20	Reallocate
sistant Deputy Warden, G-22 rrection Assistant Deputy Superintendent, G-22	Assistant Deputy Warden, G-24 Correction Assistant Deputy Superintendent, G-24	Reallocate.
uty Warden, G-25 rrection Deputy Superintendent, -25	Deputy Warden, G-27 Correction Deputy Superintendent, G-27	Reallocate. Reallocate.
Correction Capt G-20	Correction Capt G-21	Reallocate
NACC Chief Supervising Officer G-18	NACC Correction Supv. Officer G-21	Reallocate

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Present	Possibilities		Timing
	Correction Officer I, G-12	- Less responsible posts and new hires	Immediate
Correction Officer, G-12	Correction Officer II, G-13	- For all present incumbents. - Earmark these on less responsible posts for CO I, G-12. - Promote from CO I after training, and passage of examination. Requires change to more responsible post.	Immediate
	Correction Officer III, G-15 (14)	- Promote from CO II after training in Department or college training and passage of examination. Requires change to substantially full time counseling.	Future
	Correction Officer Trainee	- All new employees move to G-13 upon completion of training.	Immediate
Correction Officer, G-12	Correction Officer I, G-13	- All assignments except counseling.	Immediate
	Correction Officer II, G-14	- Same as CO III above.	Future
	Correction Officer I, G-12	- For all new hires and least responsible posts. Move to G-13 only on transfer to more responsible post.	Immediate
Correction Officer, G-12	Correction Officer II, G-13	- For all present incumbents.	Immediate

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MEMORANDUM

May 26, 1970 E1

TO: Correction Officer Survey Team

FROM: Mr. Michael J. Roche

SUBJECT: Green Haven Prison

* * * *

Mr. Ernest DesChamps and myself arrived at Green Haven around 9 a.m. on the morning of May 13. We were shown directly into the Warden's Office and spoke with Acting Warden Nelson Otis about the purpose of our visit. Warden Otis gave us a run-down on the nature of the institution and its program.

Green Haven is a maximum security institution with a population of ---- including the population of the Narcotic Rehabilitation Center (J Block), which is within the walls of the institution. The inmates are those convicted of felonies such as burglary, armed robbery, felonious assault, and murder. The Warden says that the trend in the Correction institutions of today is to allow the "outside to get into the institution." He went on to explain that this is a basic change in concept which allows such groups as Alcoholics Anonymous, Gamblers Anonymous, Dale Carnegie Institute, and other social action groups to come into the institution and involve inmates in their program. At one time, it was the policy of the Correction Department to restrict rather tightly the amount of contact the inmates had with outside groups, but now that the trend in the penal institutions of the State is toward rehabilitation and resocialization of convicted criminals, more and more contact with groups whose primary intention is to help the inmates is being allowed.

Warden Otis pointed out that at one time it was a written rule that Correction Officers were not to engage in conversation with inmates. Some time after World War II, the idea came to fore that the Correction Officers could play an important role in rehabilitation of criminals, as they have continuous

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contact with the inmates of the prison and should be able to provide attentive guidance. Naturally, this could be only achieved with the establishing of verbal communications between the inmates and the Correction Officers. The policy of the Department today is that the Correction Officers should communicate freely with the inmates and try to give advice and seek out any problems that the inmates may have which affect their participation in the educational and vocational programs now stressed at all institutions.

Since 1960, Correction Officers have been involved in a group counseling operation at Green Haven. Nine Correction Officers are assigned on a full-time basis as group counselors for those within the population of the prison who are regarded as having a problem with narcotic addiction. Those involved in this group therapy for the narcotic addicts receive training twice a week from professional institution staff in nursing, guidance, and vocational rehabilitation, group dynamics, and group communication techniques. There is also a training program open to all Correction Officers which involves the same professionals, but is somewhat less intensive. This training goes on for one hour, one day a week for 15 weeks. All Officers will eventually undergo this sort of training.

It is important to note that Correction Officers are taught to be friendly "up to a point" with the inmates. It is not uncommon for a Correction Officer to be engaged in a conversation by an inmate who wishes to distract him so that some buddies of his may do something behind his back. They are told to be alert in group situations to such tactics. This is a reasonable instruction considering that security is as much as a consideration within the institution as rehabilitation and counseling. The Warden assured us that inmates do come to the Correction Officers, they always have, and it is a myth that they do not want to speak to the guards. Admittedly, there are some who do not try to

communicate, but they are a small percentage. Contact with these inmates who are reluctant to communicate is desired, and Correction Officers are instructed to try to get through to them.

In the segregation cell block, the Sergeant in charge conducts group therapy sessions. The inmates in this area are isolated there because they are, for one reason or another, not safe in the general population. The Officers there are always with these inmates, as they do not participate in the routine prison programs. It is an ideal situation for establishment of a group counseling program. Warden Otis stated that the group counseling program is expanding, and that eventually it will probably involve the entire general population. Although at the moment it is mostly narcotic orientated, it will be broadened to include nearly all inmates in the institution.

Usually there is no shift rotation or shop rotation at Green Haven. There is a relief crew of Correction Officers who fill in for those on vacation. The members of this relief crew are rotated from shift to shift and can be assigned to any post within the prison, including J Block. However, it is emphasized that at any time the Correction Officer could be moved into another shop. Sergeant John Fiano was called into the Warden's Office and participated in our discussion. He was to be our guide through the institution, and we asked if he had any information on the type of in-service training that was given to the Correction Officers here at Green Haven. He informed us that he was the Sergeant in charge of the group counseling of narcotic addicts, and that he participated in the training of the Correction Officers involved. He gave us a copy of a paper on communications which he had prepared in conjunction with another Sergeant for presentation to a class of Correction Officers.

TOUR OF THE INSTITUTION:

Correspondence Censoring:

We left the Warden's Office with Sergeant Fiano and entered the Correspondence Censoring Office, which is located on the same floor of the Administration Building. There are four Correction Officers assigned currently to work in this unit; one Correction Officer is permanently assigned to the operation and the other three are assigned to assist because of some limiting physical disability which keeps them from assignment to a regular Correction Officer Post. It is rather a routine procedure which is conducted at every institution where the incoming and outgoing mail is censored by the Correction Officers. There are correspondence records which show to whom inmates may send mail and from whom they may receive it. These cards are checked any time that a piece of mail is received or sent out, and an entry is made on the card recording the date that the correspondence was received or sent. There is a civilian clerk who works in the Censoring Office ordinarily, but he has been on extended sick leave for several months. There are some prisoners in the Correspondence Censoring Office who assist in posting information on inmate stamp accounts and correspondence records.

Industrial Shop:

There are several Correction Officers assigned to the various shops in operation at Green Haven. The Correction Officer goes to the cell block to pick up the men who work in his shop and bring them to breakfast first thing in the morning. From breakfast, he escorts them to the shop. He also brings them to and back from lunch, and later on back to their cell block. Shop Officers work very much like foremen while in the shop. Although there is a civilian shop foreman in each industrial shop, most of the Officers have been

assigned to their current post for a long enough time that they have developed expertise in the operation of the shop, and rather than being solely concerned with security, they actually become involved in supervision of the shop operation. We spoke to a Correction Officer assigned to the Garment Shop, and he told us that he is very much involved with the inmates during the normal workday. They often come to him with their problems, and he tries to be helpful in reaching a solution of difficulties encountered. He is able to provide attentive guidance to new men who are not familiar with the operation, and he is able to assist anyone who has difficulty performing their assigned tasks. He did note that because of the large number of inmates assigned to this shop (approximately 200 inmates in one large area where three Correction Officers are stationed), the Correction Officers do have to pay a good deal of attention to the security, and even while giving advice to individuals, they must remain constantly vigilant to what else may be taking place in the area for which they are responsible. The nature of all the Industrial Shop assignments is pretty much the same. The other shops besides the Garment Shop are the Knit Shop, Fabric Dye Shop, Paint Brush Shop, Broom Shop, Furniture Shop, and the Mattress Shop. There was a large textile operation which is being phased out.

Arsenal:

There is a Correction Officer assigned in the Arsenal 24 hours a day. He issues all keys, night sticks (carried by all Correction Officers in the prison), weapons, flashlights, sharp utensils, such as kitchen knives and hacksaw blades, and other security equipment. Keeping track of the keys is, in itself, a monumental task, as there are several dozen different key rings which have to be checked in and checked out at the beginning and end of each shift. The weapons located in the 12 wall posts are brought in once a week for cleaning, and this

Correction Officer does the cleaning. He also does any minor repairs which might be necessary; anything serious would be sent out of the institution. There is a radio located in the arsenal which allows the Correction Officer to keep in contact with the Horse Patrol, which consists of two Officers on horseback who provide security outside of the institution walls. The Correction Officer emphasized that for half an hour when the day shift begins and for half an hour at the end he is busy issuing or taking in the 300 sets of keys which are needed daily by the security staff. This Correction Officer has no inmate contact whatsoever and has not participated in any group counseling courses. I believe he said he had been stationed there for nine years.

Administration Building Control Office:

At the juncture of the three wings of the first floor of the Administration Building, directly off the main lobby through which all visitors must come, there is a small control room which is manned by a Correction Officer on a 24-hour basis. From within the Office, the Correction Officer looks out into the lobby area and controls all gates leading from this area. One gate leads to the wing in which the arsenal is located and the stairwell to the second floor of the Administration Building. Another gate opens into a corridor which connects the Administration Building with the cell block area; a third opens into the visiting room area, and the fourth is the gate leading into the front lobby of the Administration Building. At no time can more than one gate be opened. All are controlled electrically by this Correction Officer, and because of the traffic through this area at all hours, the Correction Officer is kept very busy manipulating the controls.

Deputy Warden's Office:

There is one Correction Officer permanently assigned to the Deputy Warden's Office during the 7:20 a.m. to 3:20 p.m. shift and two assigned during the 9:45 a.m. to 5:45 p.m. shift. These men leave the office at various times during the day to "run companies" to and from work at mealtime, or back to the cell block in the evening. There is always at least one man left in the office. As the office is closed from 5:45 p.m. until 8:00 a.m., there are no officers assigned during the later shifts.

The three men share the responsibilities for much clerical work in this office. They are responsible for typing up work schedules for each of the shifts; vacation relief charts; handling all calls from officers who are not able to report to work, and seeing to it that the relief officers are notified; keeping employee attendance records, processing all disciplinary reports for the Deputy Warden's attention; arranging for Deputy Warden's court (to deal with inmates who have been guilty of some infraction of the rules); and preparing reports of all kinds for submission to the central office. The primary responsibility, with which all three men are very much concerned, is the daily inmate counts. They are conducted three (possibly four) times a day. All reports are forwarded to the Deputy Warden's Office, and the figues are thoroughly checked before routine programs are resumed.

There are three inmate "runners" who are assigned to provide messenger service for the Deputy Warden's staff. For various reasons, a small number of inmates are called to the Deputy Warden's Office during the course of an average day. One of the Correction Officers stationed there would ordinarily go and pick up the inmates and escort them to the office and back again when the interview was concluded.

Identification:

The Senior Identification Officer position at Green Haven has been vacant for some months. A Correction Officer has been assigned to perform the Senior Identification Officer's duties. They are the routine duties of photographing inmates, taking their fingerprints, and maintaining identification records. This officer also is used to run a company early in the morning and during the noon hour.

Administration Corridor Gate:

At the end of the corridor leading from the Administration Building Control Office into the building which contains the cell blocks, there is another gate where there is a desk situated which is manned by a Correction Officer 24 hours a day. As in the case of the officer stationed in the Administration Building Control Offic, the Correction Officer here coordinates the traffic through his area and controls the gates that open into the various corridors that lead off from his area. This is primarily a security post with little inmate contact other than routine communication necessary to direct the traffic flow. During the hours that the inmates are locked into their cell blocks (4:30 p.m. to 7:20 a.m.), the traffic in this area is quite limited, but during the day it is quite a busy location.

Cell Block A:

There are two Correction Officers assigned to Cell Block A on the 7:30 a.m. to 3:20 p.m. shift. There is another officer assigned to that cell block on the 9:45 a.m. to 5:45 p.m. shift. Three officers are assigned on the 3:20 p.m. to 11:20 p.m. shift, and another three are assigned on the 11:20 p.m. to 7:20 a.m. shift. At the end of a long corridor which contains the rows of cells, there is a control room where the Correction Officer has a desk and

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where the locking controls which enable him to open the cells individually or simultaneously are located. Cell Block A is a closed type of cell block, as are Cell Blocks B, C, and D. This means that there is only a single tier of cells in two rows, back to back down the center of the cell block. As this is a maximum security institution, no cells are connected to the outside walls of the building. Cell Block A is not an ordinary cell block area in that on one side of the cell block there are several cells where inmates are locked up for various disciplinary reasons, and on the same side there is a small [redacted] shop. Several inmates were assigned to this shop, and at the time we were there, these inmates were being served early chow. In other close type cell blocks there are no shop operations and only one Correction Officer is assigned during the hours when the inmates are off the cell block. There is a group of inmates assigned to help keep the cell block area clean and they stay with the Correction Officer in the cell block area for most of the day. During the course of the program hours, the inmate contact on the part of the Correction Officers to the cell block area is minimum.

During the evening hours when the prisoners have returned to their cells and are locked in for the night, the Correction Officers have a chance to patrol the cell block and talk with the inmates freely. The Correction Officers pass out mail and packages during the evening hours. Sergeant Fiano pointed out that any counseling, whether it is conducted by the professional counseling staff of the prison, or in the case of the narcotic addicts by the Correction Officers themselves, is conducted during the program hours (7:20 a.m. to 4:30 p.m.). The evening hours, he suggested, would be the ideal time to set up individual and group counseling sessions on a formal basis. Those on the 3:20 p.m. to 11:20 p.m. shift should receive training and group counseling and be instructed to participate

in the counseling program. Sergeant Fiano doesn't believe these courses are for everyone, but he feels that most Correction Officers would benefit greatly. He did admit that there has been no mention as far as he knows about setting up this type of course for all Correction Officers. He said that he felt the Department was interested in developing this sort of program because they would initiate the limited program in which he was involved for the narcotic addicts.

The Correction Officer in charge of Cell Block A explained the daily count sheets which he had to maintain showing where all inmates assigned to his cell block were during the course of the day, and he mentioned the various reports that he must make on any inmates that he might supervise in a work situation when that inmate would come up for parole. He showed us how the locking system worked and discussed how he stressed cleanliness in the individual cells and cell block area. He admitted that his contact with the inmates who live in the cell block was very limited, and that he had little chance to talk with the vast majority of the people there.

Recreation Yard:

There are ten posts in the recreations yards that are manned by ? Correction Officers during the hours that the yards are open on the 9:45 a.m. to 5:45 p.m. shift. These Correction Officers run companies during the noon hour, and they are often pulled for other duties when the yard is not being used or when there is a relatively small number of inmates in the yard. Their responsibilities are primarily security duties, and they pretty much remain in one given spot. Each yard has a few little wooden platforms from which a Correction Officer has an advantage point to survey the crowd. As with most assignments, these posts are of a very permanent nature, although it is not uncommon that the newest men in the Correction Officer staff would be assigned in these areas.

There is very little opportunity to escape, as the large numbers of inmates in the yard must be watched closely.

Intermediate Officers:

At the intersections of A and B Mess Hall corridors and the intersection of C and D Mess Hall corridors in the cell block area, there are little booths in which a Correction Officer is stationed. An officer is stationed on the 7:20 a.m. to 3:20 p.m. shifts. The Correction Officer "controls" the movement of inmates along the corridors. As is obvious, this is primarily a security post.

Hospital Dormitory:

There is a Correction Officer assigned to the hospital dormitory at all times. The Correction Officer on the 7:20 a.m. to the 3:20 p.m. shift is responsible to bring those who are able to go outside to the hospital recreation yard and to bring them to lunch. He is assigned a small crew of inmate porters which he supervises in the ordinary housekeeping duties for the hospital area.

Recreation:

A Correction Sergeant has been put in charge of a recreation program for the inmates. He is responsible for all the various Correction Officer posts in the recreation yards, and he also supervises a Correction Officer on the 7:20 a.m. to 3:20 p.m. shift who takes care of the recreation equipment and issues it to the inmates. This Correction Officer can usually be found in the recreation supply room, but is often called out to the recreation yard.

Hospital Clinic:

There is one officer assigned to the hospital clinic on the 7:20 a.m. to 3:20 p.m. shift. His duties include providing security for the clinic area where an average of 200 inmates report for sick call or dentist appointment, eye

doctor appointment, or something similar during the course of a normal day, and supervision of a group of inmate porters in the ordinary housekeeping duties for that area. The hospital clinic is located one floor below the hospital itself. As a supervisor of a work crew, the Correction Officer claims he has very good rapport with the inmates under his control. He sees the role of work supervisor as being a major rehabilitation responsibility.

Segregation Isolation:

One wing of the hospital is in an isolation ward where a Correction Officer is stationed at all times. The individuals here are isolated for medical reasons distinct from the inmates in the other segregation area who are segregated because of the belief that they would be in danger of physical harm if they were allowed to be mixed in with the normal population. There is a Correction Officer on duty at the segregation wards at all times. In fact, in the segregation area there are three officers assigned on the 7:20 a.m. to 3:20 p.m. shift, one on the 9:45 a.m. to 5:45 p.m. shift, two assigned on the 3:20 p.m. to 11:20 p.m. shift, and two on the 11:20 p.m. to 7:20 a.m. shift. This allows at least one Correction Officer on each of the two isolation wings at all times. There is a Sergeant on the 7:20 a.m. to 3:20 p.m. shift who conducts group counseling for the inmates in the segregation area. This Sergeant received the same training as the Correction Officers involved in the Narcotic Group Counseling Program under Sergeant Fiano. His work involves two or three sessions a week for all of those inmates who have volunteered for the program.

Mess Hall A and B:

For the better part of the day, there are two Correction Officers assigned in each mess hall, one in each of the mess halls on the 7:20 a.m. to 3:20 p.m. shift and one in each of the mess halls on a special 10:30 a.m. to

6:30 p.m. shift. This overlapping of shifts provides extra coverage for the noon meal which is the biggest meal of the day in the Correction institutions. In the mess hall and kitchen area, there are 130 inmates assigned as workers. Many of them work in the mess hall area itself simply keeping the place clean. The Correction Officers assigned in the mess hall area are responsible for supervising them in their work. During the noon meal, the Correction Officers take care of security in the area and assist if any trouble should develop. There is no one in the kitchen or mess hall area after 6:15 p.m., and therefore, no officers are assigned there on the later shifts.

Kitchen:

In the kitchen itself, there are two Correction Officers assigned on the 6 a.m. to 2 p.m. shift and two others assigned on the 10:30 a.m. to 6:30 p.m. shift. This provides at least two Correction Officers for the morning and evening meals and four Correction Officers for the noon meal. These Correction Officers supervise the large numbers of inmates who, under the direction of the Head Cook, prepare all the meals and police the kitchen area. The officers assigned here go and pick up the men who work in this area each morning and bring them to the mess hall. Those officers on duty at the end of the day are responsible for returning the workers to their cell blocks. Prison officials attempt to locate all prisoners who work in a particular area in the same cell block if possible. We observed that the Correction Officers here, do not lend a hand in the actual duties, but do at least consult with the kitchen help and provide some direction. The officers we spoke to in this area have been there for several years, and they felt as if they knew the operation of the kitchen as well as anyone. They claim to have good rapport with the inmates who work for them and said that inmates often come to them with their problems and seek advice on personal matters, as

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well as work matters. On occasion, Correction Officers informed us, they have filled in for the Cooks when they are on vacation or sick leave.

Bakery:

There is one Correction Officer stationed in the bakery which is located in the kitchen from 6 a.m. to 2 p.m. Under his supervision and the direction of a civilian Baker, 20 inmates prepare all the baked goods used in the institution. We spoke with a Correction Officer and he described his daily routine. He picks the inmates up at a little after six in the morning and brings them to early breakfast and then to the bake shop. He stays with these men until the end of the workday, just before 2 p.m., at which time he turns them over to another Correction Officer whose responsibility it is to bring them to the recreation yard or return them to their cells. This Correction Officer has been assigned to this post for three years. There is very little turnover in his work crew, and he has come to know all those men assigned to him on an individual basis. He says that he gets involved in the work and has virtually picked up the skills of the baking trade while working in the bakery. For the better part of the day, he is involved in conversation with the inmates, and he is able to offer advice and attentive guidance, not only in work situations, but in regard to personal problems which the inmates often bring to his attention. He stated that it was his personal belief that the inmates will respond very well to the responsibilities of their work if they feel that you trust them. His technique is to act as though he has complete trust in the inmates and to try to get them to understand that he has the responsibility for maintaining security in the bakery area and that he trusts them to behave according to the rules which he must enforce.

During his time on this post, the Correction Officer has had only a couple of minor scrapes that he has had to break up, and he takes pride in the

fact that he has not had to turn in any disciplinary reports because all problems that he has had he has been able to solve through his own acts. He also said that he would like to take some courses on group counseling or individual counseling if they were offered by the Department of Correction. He feels that his approach to the inmates is the proper approach, but he recognizes that proper training would certainly benefit him and make him that much better as a rehabilitation team member.

Storesroom:

The civilian Stores Clerk has only been here a month. The position was vacant for quite awhile. While that position was vacant, the Correction Officer who has been here for several years ran the entire operation. There is one officer assigned here from 7:20 a.m. to 3:20 p.m. He supervises six butchers (one civilian employees and five inmates) and fourteen porters. The storesroom is constantly receiving all sorts of goods, everything from food stuffs such as meat, milk, canned goods, etc. to household supplies such as paper products, cleanser, soap, etc. The porters, under the supervision of the Correction Officer and the Stores Clerk, unload and store all products received. At the same time, various goods must be distributed throughout the institution, meat and food stuffs to the kitchen, household cleaning utensils to the cell block areas, various supplies to the Warden's residence, etc. The Correction Officer in charge is conversant with the inmates under his supervision. As he sees these men for the better part of the day and is their primary contact for the day, five days a week, he is able to tell when a man is having a problem and is quick to try to find out what the difficulty is. Because he has shown an interest in the people who work for him, he claims to have one of the best work crews in the institution. Inmates are sometimes reluctant to work in the storesroom because of the heavy labor invol ed and sometimes turn to him seeking reassignment to another area. He said he

always tries to make sure that these people are quickly reassigned to whatever job they prefer. There is a fairly steady turnover on this job because of the heavy nature of the work, but at least half of the crew has been there for quite awhile, and the Correction Officer says that as they respect him and understand what his role is, they exert group pressure on new men to do what they are assigned and to conform to the routine of the operation. He said that it is not unusual for two or three inmates to approach him with a problem during the course of any given day. Again he emphasized the point that he tries to immediately do what he can for the inmates, and he knows that because they are aware of his immediate action and obvious concern, they have come to respect him as a supervisor and to trust him as he trusts them. The Correction Officer pointed out that as when the position of Stores Clerk was vacant, he is often called upon to fill in as the Stores Clerk.

Shops:

As explained earlier, there are several industrial shops which employ a great number of inmates. They are located in the rear of the prison compound. As the Correction Officer posts in these various shops are pretty much the same, we took a casual walking tour through only a couple of these. Earlier in the memorandum we described the responsibilities of a Correction Officer in regard to escorting his men from breakfast to their work assignment and staying with them for the remainder of the day. In the knit shop, which is a brand new operation making knit clothing, there are 20 inmates employed. They are supervised by the Correction Officer assigned there and a civilian foreman. All Correction Officers who are assigned to industrial shop positions are on the 7:20 a.m. to 3:20 p.m. shift. There is also a tailor shop where institution clothing is made and repaired. There are 44 inmates employed there under the

supervision of one Correction Officer. There is a large garment shop under the supervision of three Correction Officers where they make flags, underwear, bathrobes, women's dresses, etc. There are 189 men working in that particular shop. By far, the largest operation was the textile shop which is being phased out. At the time we went through the shop area, the textile operation was entirely closed down and machinery was being removed from the building. New machinery for a fabric dying shop had been set up and was being inspected by several civilian mechanics. The inmates formerly employed in the textile shop will be re-trained and assigned in this operation. There is also a small brush shop under the supervision of a Correction Officer and a civilian foreman where brooms, paint brushes, and scrub brushes are manufactured. We spoke with a couple of the shop officers in the garment shop. They explained the size of the inmate crew being supervised (189) made it a little difficult for the three officers in the shop to become as involved as they would like to be in assisting the inmates in their work. Because of the large area and the large number of people, the primary worry is security. The Correction Officer we spoke to pointed out that many Correction Officers such as himself who have been stationed in a particular for several years become adepted at supervising the entire operation. When the civilian foreman goes on vacation, it is the Correction Officer who fills in to keep the operation rolling. He pointed out the fact that several of the civilian foremen at Green Haven were former Correction Officers who became skilled at their particular tasks and upon retirement from the Correction Officer ranks were able to qualify as shop foreman. The Correction Officer said that very often the inmates would come to the Correction Officer in charge.

Night Rounds:

There are two Correction Officers assigned, one on the 3:20 p.m. to 11:20 p.m. shift and the other on the 11:20 p.m. to 7:20 a.m. shift to patrol the institution buildings during the hours in which the inmates are locked into their cell blocks. There are different check points where the Correction Officers must record the time at which they pass through the area, and they simply perform the security function and also serve as fire watch. Any unusual currents are noted and brought to the attention of the Sergeant in charge of the institution for the night.

Night Utility:

There is also a Correction Officer assigned to night utility responsibilities on the same shifts as the night rounds officers. The description given for his responsibilities was not too extensive, and as far as I can recall, his main responsibility was to assist the night rounds officer in patrolling the institution buildings and grounds.

Farm:

There are four Correction Officer posts on the farm located outside the institution. The post in the farm barns is manned 24 hours, one Correction Officer for three eight-hour shifts. The other farm post, which involves the supervision of inmate work gangs in the care of field crops, farm machinery, and miscellaneous work, are handled by three Correction Officers on the 7:20 a.m. to 3:20 p.m. shift. We did not visit the farm, as our time was limited, but we were told that Correction Officers become very much involved in the actual farm work and perform the same type of supervision and attentive guidance for the inmates on the farm work gangs as the Correction Officers in charge of the various work crews described above.

There is a Head Farmer who has charge of the farm, I do not know if there are any other civilian farmers employed here, but in general, the inmates themselves do most of the work, including the milking and the field work.

School:

We visited the vocational shops where instructors teach the inmates skills in various trades on an OJT basis. During the course of a day, there are three assigned to the school area; two of them are on the 7:20 a.m. to 3:20 p.m. shift and the other is on the 9:45 a.m. to 5:45 p.m. shift. School operates from 8 a.m. to 3 p.m. with a break for lunch at noon. The school officers pick up the inmates assigned to the school after chow in the morning and bring them to their classroom area. They bring them to and from lunch and at the end of the day return them to their cell blocks. While classes are being conducted, the Correction Officers patrol the corridors of the school area, and if an instructor needs their assistance, or perhaps if an instructor is absent, they may be called in to provide any supervision and direction they can to those in the classroom. Some of the Correction Officers who have been there for quite awhile have a particular specialty in which they have become quite adept, and they may spend quite a bit of their time in that particular job. They do get involved in the work in that they assist inmates who have difficulty. A couple of the vocational instructors employed at Green Haven now are ex-Correction Officers who qualified for appointment as institution vocational instructors after gaining experience in the vocational shop as a full-time Correction Officer. However, for the most part, the Correction Officers assigned to the school do not ordinarily enter the classrooms on a regular basis. It is only in situations where they are called upon to assist that they actually get a chance to perform as instructors. It was during the lunch hour and there was

no one stationed in the school area when we went through. Sergeant Fiano said that at least one of the Correction Officers stationed in the school is, himself, attending classes at a local community college so that he may qualify as a vocational instructor in repair of electrical motors.

Another thing brought out was that the Correction Officers in the school area are very often called upon to bring a group of inmates from a particular shop/ out into the plumbing or electrical shop to assist the civilian plumber or electrician in making repairs. It was also pointed out that IBM has established a program whereby men given particular training in the Green Haven machine shop will be given jobs when they are paroled. The Correction Officers assigned in the corridors where the academic classrooms are located do not really become involved in classroom work at all. There is a crew of inmates responsible for cleaning up the entire school area, and all the Correction Officers stationed in that area have a hand in supervising that clean up.

Commissary:

The Correction Officer in charge of the commissary works the 7:20 a.m. to 3:20 p.m. shift. He is in charge of maintaining inventory and processing all orders received from the inmate population. In affect, he manages what is a good size retail store operation. He orders all goods required, sets the prices, and maintains the day-to-day records of money handled. There is a large crew of 15 to 20 inmates who assist in the operation of the commissary. They are primarily involved in filling out the purchase orders which are handed in by the inmates and posting the amounts of purchase to the inmate records which are kept at the commissary. The inmates are only allowed to spend so much money a month in the commissary, and when he has reached his limit, he is notified that his orders will not be recognized until the next month. We did not tour the commissary.

Hobby Shop:

The Correction Officer assigned here gives out materials such as leather, paints, carving tools, etc. which are utilized by the inmates in the various hobbies which they pursue while locked into their cells in the evening hours. Virtually everything in the line of hobbies can be found at Green Haven. We were shown a large display room where products of the inmates' handicraft are placed on sale. Any visitor may purchase any number of articles, and the inmate is allowed to keep a certain percentage of the profit from the sale. The Correction Officer maintains the sales records for this display room. He also maintains a close accounting of all materials handed out or purchased by the inmates engaged in hobby work.

Tower:

There are 12 towers located on the wall at Green Haven. Each is manned 24 hours a day by a Correction Officer. The tower we looked at was the one right next to the rear gate entrance. The Correction Officer stationed there controls the entrance gates electrically. There is a large caged in area inside the wall into which the rear gate opens. When the gate is opened, the gate in the cage is closed, and at no time would both gates be opened. All commercial traffic which must enter the grounds must pass through this gate. There is a Correction Officer stationed at the gate house 24 hours a day. He inspects incoming and outgoing vehicles thoroughly and records their coming and going in a daily report. He has a list of all drivers working for commercial firms delivering to Green Haven who have been through the gate before. Any new man coming through for the first time undergoes a thorough scrutiny, and he must have his name and driver's license number recorded on the list maintained by the gate officer. The wall officer does not open the gate at any time unless the officer on the ground is visable. This is another security precaution.

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There are several loaded weapons in the tower including a pistol, a shotgun, a sub-machine gun, and a high-powered rifle, as well as a gas gun. All 12 posts have these weapons. The Correction Officer in the rear gate tower told us that his was the only post that required anything more than just constant alertness for trouble within or immediately without the institution. He mentioned that his responsibilities for controlling the gate were welcome in that they help to keep him from being overwhelmed by the monotony of a tower assignment.

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We asked Sergeant Fiano / about the typical assignments for the Correction Sergeants at Green Haven. He said that his assignment consists of being in charge of the Green Haven in-population narcotic program, supervising nine Correction Officers who work as group counselors under his supervision. He pointed out that the Correction Officers, the professional therapists, and himself consult on the release board for those in this narcotic program. The average stay is nine months to a year for addicts enrolled in their program.

There is a Sergeant on the 9:20 a.m. to 3:20 p.m. shift who supervises security operations in all maintenance shops and in three cell blocks. On the same shift another Sergeant supervises Correction Officers assigned in the industrial shops and buildings. A third Sergeant on that shift is responsible for all tower posts and the outside gangs. On the 9:45 shift one Sergeant supervises all Correction Officers assigned to that shift and is responsible for three cell blocks. Another Sergeant is responsible for the hospital area and the segregation cell blocks. This Sergeant is involved in group counseling on a one to one basis for two days a week with the inmates assigned to the area for which he is responsible.

As mentioned above there is yet another Sergeant who is responsible for coordinating all recreation activities for the inmates.

Finally there are two relief Sergeants assigned to this shift.

On the 3:20 p.m. to 11:20 p.m. shift and on the 11:20 to 7:20 shift there are no Sergeants. After 5:45 p.m. until 7:20 the next morning Lieutenants are in charge of the institution and there are no Sergeants working at this time, unless to do a supply relief for a Lieutenant.

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Sometime after 1:00 May 13 Ernie DesChamps and myself entered "J" Block in the Green Haven State Prison. It is in this particular building that the Green Haven Rehabilitation Center, a NACC Institution, located in "J" Block is manned by a staff of 65 Correction Officers, 5 Correction Sergeants, 3 Correction Lieutenants, all under the supervision of a Correction Captain. As Green Haven Rehabilitation Center is entirely within the confines of Green Haven Prison it was felt best to utilize Correction Officer as security and custodial personnel rather than Narcotic Correction Officers. Those assigned to work in the Rehabilitation Center may ask for a transfer back to the prison assignment if they wish but otherwise their assignment is permanent. There are several relief positions allocated to the Rehabilitation Center but vacation relief is supplied by the vacation relief staff of the prison. The daily routine of the Narcotic Rehabilitation Center is noticeably more informal or relaxed than that in the prison. The residents are brought up to breakfast at 7:20 in the morning and from there sent to whatever program activity which they are scheduled. In most instances as in the prison they are escorted by Correction Officers although often because of the relatively small area of the institution it is not necessary to escort the residents at all times. All residents at the Rehabilitation Center participate in somewhat of a school program ranging from elementary and academic education through high school equivalency courses or vocational shop classes. Some residents may have work assignments during the day but not for an entire 8 hours. Those on work assignment ordinarily work a half day and then participate in some aspect of program.

The Correction Officers assigned to the "wards" are involved in the counseling of residents. The Narcotic Rehabilitation Counselor who works on each ward gives the Correction Officer assigned to assist him on-the-job instruction in how to

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participate in group counseling. In addition to this many Correction Officers involved in counseling are taking courses at nearby Dutchess Community College. Correction Officers are chosen to function as "co-counselors" because they show an interest in becoming involved in the actual rehabilitation therapy of the residents. Some Correction Officers have not been able to help out in counseling and for the most part they have been able to recognize their inadequacies and have asked to be removed from the program. All Correction Officers have participated or are participating in the 14 week training course being given in the Green Haven Prison.

The Correction Officer involved in group counseling is an important team member because he is able to observe the residents on the ward and to determine whether or not they are performing as they would have been when they speak out in counseling sessions. Any observations that he makes provide him with information that he can use in the group counseling sessions or which he can pass on to professional counselors to assist them in their work. All Correction Officers whether involved in the group counseling or not participate in the evaluation team which examines the progress of the residents. This team, consisting of the various professionals and Correction Officers, has final authority in determining whether or not a resident is ready for a change in program which could mean outright release or reassignment to an aftercare facility. Not only the Correction Officers assigned to the resident wards but those responsible for supervision of resident work gangs and those who come in contact with a particular resident or residents are responsible for submitting reports when an individual is being evaluated by the staff. Accompanied by a Sergeant Root and Captain we took a walking tour of the institution. It should be noted that there is a brand new building which will be opened sometime in June which is directly attached to the building in which "J" Block is located. The new building will house school facilities, the infirmary and several offices. There will be an increase in the custodial staff requested when this building is opened.

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Reception Desk:

There is a Correction Officer assigned here on the 7:20 to 3:20 shift and the 2:00 to 10:00 shift. This post is primarily a security post which involves routine checking in of any visitors and the routine institution traffic of residents and Correction Officers. The desk is located so that it provides security both for the connecting corridor which joins "J" Block with the prison and the rear door which leads into the yard where the administration offices and the main gate are located. The Officer controls the gates into the connecting corridor and the main areas of "J" Block as well as the door into the yard. There are three or four residents assigned here in the morning and another group in the afternoon to act as porters and to keep the area policed. At the juncture of the three wings forming the first floor and in the same location on the second floor there is a large open office type area referred to as the floor console. At each of these locations there is a Correction Officer stationed there 24 hours. One each on the 7:20 to 3:20 shift, 3:20 to 11:20 shift, and the 11:20 to 7:20 shift. From these locations the counsole / officers control/into the gates each of the three wings and can keep an eye on all areas of the floor without having to leave their position. They control the movement of the residents to and from program activities and to and from mess. On the second floor they also have responsibility for keeping an eye on the dispensary area and dental office. On the 7:20 to 3:20 shift and on the 3:20 to 11:20 shift there is a second Correction Officer assigned to the second floor console post as a "runner." The "runner's" responsibilities are primarily those of escorting residents to and from unusual appointments or locating Correction Officers for reassignment to another area or simply filling in for any of the Correction Officers who may be called away. The Correction Officers on the second floor console told us that their job was primarily one of security and control. On the first floor the Officer at the first floor console has pretty much the same responsibility as described for the man on the second floor excep.

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that he must observe the mess area which is located on that floor. There is a second Correction Officer assigned to that post as a "runner" on the 9:45 shift.

A first floor "runner" also serves as the security officer for the visiting room. He would pick up residents and bring them to the visiting room for the visit. He is also used to assist in providing security on other trips within the institution. It should be noted that the second floor console "runner" is also the bus driver for the institution and he is very often called upon to drive groups of residents to locations within the vicinity of the Green Haven Prison. He also handles the pick up and delivery of mail for the institution.

Clothing and Storeroom:

There are two Correction Officers assigned to operate the clothing and storeroom for the institution. One is assigned on the 7:20 shift and the other comes in on the 9:45 shift. They handle all supply pick up from the main Green Haven storehouse and all NACC forms which come directly to the Rehabilitation Center. They supervise a small gang of residents (7 or 8) who serve as porters and stores clerks for them. They also have responsibility for the laundering of the resident clothing and the repair and issuance of that clothing. Some of the residents serve as tailors whose responsibility it is to repair the damaged clothing turned in. The residents are given a new set of clothing once a week. We did not have a chance to meet the Correction Officers assigned to this post.

Food Cart and Kitchen:

There are two Correction Officers assigned to the kitchen area during the day, one comes in on the 7:20 shift and the other on the 9:45 shift. A group of 20 residents reports to the kitchen and dining room area just prior to meal time to assist passing out the food as it is received by cart from Green Haven Prison where all food is prepared and to clean up the area as soon as the meal is complete. These residents return to whatever program function they are involved in after they have completed their kitchen work. There are a few residents who have permanent

half day work assignments in the kitchen area and they are under the supervision of the Correction Officers assigned here. The Correction Officers in this area usually serve as recreation yard officers during lulls in the kitchen activities. We did not speak to Correction Officers assigned in this area.

Utility Gang:

This Correction Officer works on the 7:20 shift and supervises a half dozen residents in the morning and another half dozen in the afternoon. They perform general grounds and maintenance work covering everything from picking up garbage to shoveling snow or planting trees or shrubs. Sergeant Root emphasized that all Correction Officers who supervise inmate workers must make a monthly report on the behavior of the residents under his supervision. As a work supervisor a Correction Officer has constant contact with the residents in his work gang and he is able to make important observations on work habits, group behavior and general attitute which very often gave clues as to how a resident is responding to the program efforts.

Duty Officers:

These are the Officers who serve as the wing supervisors in the resident wards. On the 7:20 to 3:20 shift there are two Correction Officers assigned to each of the six resident wards in the institution. On the 2:00 p.m. to 10:00 p.m. shift there is one Correction Officer assigned to each of the six resident wards. It is the 12 Officers on the 7:20 to 3:20 shift who are involved in the group counseling as co-counselors with the Narcotic Rehabilitation Counselors. The group counseling is without questioning a very integral part of the program for this institution. We were given a schedule which showed us that all residents in this institution are involved in at least two group counseling sessions during the week. The sessions ordinarily run for an hour and a half and for the most part are held in the morning. Group counseling takes precedent over school or any other assignment. The operations surrounding the conducting of a group

counseling session take up the better part of the day. For a morning session the group will meet between the hours of 8:45 and 10:15. With the residents there would be a Narcotic Rehabilitation Counselor and the Correction Officer functioning as co-counselor. The co-counselor assigned is in most cases the Correction Officer on duty on the wing in which most of the residents in the particular group are housed. Both Correction Officers assigned to a resident wing will become involved in group counseling. Usually one of the two assigned to the wing is the regular co-counselor and the second Correction Counselor relieves him when necessary. It is unusual that a Correction Officer would not sit in on at least two sessions in the course of a week. The attached schedule of the group counseling sessions shows that many of the Correction Officers are involved in as many as six group counseling sessions in the course of a week.

After completion of the counseling session the co-counselor meets with the counselor and discusses what happened during the session. This usually takes place (according to the morning schedule) between 10:30 and 11:00. After this meeting all co-counselors and counselors meet together for a half an hour meeting to talk over what went on and what problems they ran into. At 11:30 an evaluation board is held to evaluate progress of residents. Such evaluations are scheduled so as to be sure that all residents are given consideration on a regular basis.

We spoke to Mr. Edward Kelly, a Correction Officer who is involved in the group counseling program. He spoke about the group counseling and gave us pretty much the same outline described by Sergeant Root and shown above. Officer Kelly told us that he enjoyed the group counseling work and that he felt that he had been a little better prepared for it because of two years' experience as a county probation officer. He felt he was able to give some real assistance to the rehabilitation program. He pointed out that the commission (NACC) is really committed to the "family concept" of rehabilitation treatment. This calls for the breaking down of the resident population into small groups which are held together

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as long as possible and who receive direction and supervision from the same counselors and correction officers on a regular basis. Officer Kelly and Sergeant Root both pointed out that NACC planned to operate counseling services into the evening hours when the staff is available. The present setup of one man on each wing between the hours of 3:30 and 10:00 would have to be altered in order to provide adequate coverage for the resident wards. With the addition of the 2:00 to 10:00 shift Officers in the counseling program or ward officers would then be involved in counseling. Both Sergeant Root and Officer Kelly seemed to be sold on the idea of group counseling and the involvement of the Correction Officer in real rehabilitation therapy. Officer Kelly is a college graduate and both he and Sergeant Root are taking courses in psychology at the local community college. They constantly emphasize the distinction between the narcotic group counseling program which is a real ongoing program constantly expanding and improving and backed up by a large professional staff and the normal Department of Correction Program which is for the most part talked about but has not been implemented in the general operation of any of the prisons. Both men brought up the point that they felt that the main reason for the narcotics being able to surge ahead in this area of rehabilitation was the large number of professional counselor positions which were created considering the relatively small size of the institution operations. They seem to think that a real committal on the part of the State of New York to improve rehabilitation responsibilities for the Correction Officers in Correction Institutions would never be practical because of the large amount of money required.

School:

There are two Correction Officers assigned to the vocational classroom area on the 8:00 to 4:00 shift and there are two assigned to cover the academic classroom area on the same shift. The institution is going to request several additional positions when the new building is opened up as they plan to operate the vocational shops and conduct academic classes during the evening hours when the new

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facilities are in operation. In the vocational shop area we spoke with two Correction Officers who explained their roles as teacher aides. One Officer had been a ward officer involved in group counseling for over a year but he said he had had a great deal of difficulty adjusting to the tensions and dynamics of group counseling involvement. He asked to be removed from the program and was assigned to the school area. He said he still wanted to be involved in actual counseling and rehabilitation but not in the dynamic situation setting. As a correction Officer to provide security in the school area he has been able to use his carpentry skills to assist the vocational instructor in charge of the woodworking and cabinetmaking shops in instructing the residents. He has often filled in for the instructor in his absence. He claimed that he is more often in the shop area assisting the resident in his work than he is in the corridor on "security patrol." He told me that he felt that group counseling experience was for him invaluable in that it revealed to him the nature of the addict as a human being and has helped him to understand what role he must play as a rehabilitation team member as well as a security officer. The other Officer did not become involved as often as an instructor or teacher's aide. He is primarily a truant officer in that he handles the attendance situation and determines why individuals scheduled for class have not appeared. This paper work keeps him pretty busy and he has more or less become permanently stationed at the desk which is located in the corridor of the classroom area. He has on occasion watched a class when an instructor was called out but for the most part has not become involved as an instructor or teaching assistant. In the academic classroom area the Correction Officers serve primarily as security personnel and they do not ordinarily become involved in instructing the residents.

Sergeants:

There are five Correction Sergeants assigned to "J" Block including a relief sergeant. Sergeant Root explained that he is assigned to the 7:20 to 3:20 shift and provides general supervision to the Correction Officers in that shift.

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As a Sergeant he tries to instill in his men the idea that the Narcotic Addiction Control Commission Program is a less rigid disciplinary program than offered by the Department of Correction and that all Correction Officers must learn to adjust to the more informal operation and less security minded atmosphere of the rehabilitation center. He sits in on several committees especially those concerning resident evaluation and offers advice and recommendations regarding residents on whom he may have seen various reports. Sergeant Root also brought up that all Correction Officers whether work supervisors or ward officers must submit quarterly evaluations and write-ups on residents with whom they have regualr contact. In addition, of course, there are Correction Officer staff meetings where Correction Officers are asked to bring to light any revealing behavioral patterns which they have seen developed in certain individuals.

Lieutenants:

There are three Correction Lieutenant positions at the moment but only two are filled. These two Lieutenants serve primarily as second-in-command shift supervisors on the three shifts. During the 9:45 shift, of course, the Correction Captain is the overall head of the Correction Officer staff at the institution. The Lieutenants are for the most part involved in program staff meetings, as many as eight staff meetings a week. It is their responsibility to understand the theories and principles which are the guide lines for the NACC operation and for passing these guide lines on to the Correction Officer staff. They are sometimes involved in the evaluation committees although this is not usually the case. They do have the responsibility for large amounts of administrative paper work involving assignment of relief and general staffing. There is not much paper work regarding the residents. The training of the Correction staff under their supervision seems to have been quite effective as all men that we spoke to constantly referred to the role of the Correction Officer in the rehabilitation program and the importance of involving the Correction Officers in group counseling and actual rehabilitation therapy.

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MEMORANDU

June 1, 1970

TO:

FROM: Mr. Alois J. Soeller

SUBJECT: Initial evaluation of Correction Officer class

* * * *

The job audits conducted during May at varying Correction facilities brought to the forefront the following observations which apparently has resulted in a great deal of militancy and frustration on the part of Correction Officers:

1. Within the class of Correction Officer a very wide variety of duties are performed ranging in complexity from beginning level clerical to semi-professional counseling. We found Correction Officers checking time records in chart rooms, others having strictly security duties with no inmate contact, still others whose primary duties are security but who work very closely with inmates on work details and finally there are some Correction Officers who are involved in counseling and evaluating inmates.

2. As evidenced by staffing charts there is little opportunity within the Correction Officer Series for promotion. During the survey, a number of Correction Officers and supervisory personnel raised this issue. This lack of promotion opportunity results in Correction Officers spending a great deal of time at the Grade 12 level and becoming somewhat embittered by the fact that in order to be promoted, they must move to another location. A side effect that came to the fore while at Elmira Reformatory was a feeling that the Correction Sergeant is not looked upon with very much prestige.

3. The salaries paid to Correction Officers by the City of New York are much higher than those paid by the State. As a factor in this reallocation request, we found that our Correction Officers at Wallkill, Matteawan and Green Haven feel very strongly that they should be paid at least on a par with the City's Correction Officers. At other locations, this did not appear to be a major factor.

4. The Correction Officers apparently now see themselves at the bottom of the ladder when compared with Institution Teachers, Vocation Instructors and Guidance Counselors. They see the former two classes move from Grade 12 to the Senior level at 15 with no apparent change in duties. They see the Guidance Counselor being reallocated, ~~a number of times in recent years, then later consideration,~~ they feel ~~has been given~~ to the Correction Officer's job, ~~which they see~~ as changing from the strictly security to/rehabilitation emphasis.

5. Each of us during our audits noted a genuine interest in modern penology techniques. Many of them apparently have read or taken night school courses in this and related subjects. We noted that the Department of Correction has not trained its Correction Officers as a general rule to accept the responsibilities of a Correction Officer in this new setting. Only at Matteawan was there any formal broad training program being conducted and this only, because the Federal Government was fully supporting the program. At Wallkill, Elmira and Monterey no formal training takes place.

We wonder whether or not some of the militancy on the part of Correction Officers, over many issues, is due to the Department of Correction's lack of ability or desire to thoroughly train its Correction Officers to accept the responsibilities demanded of them in a progessively run prison system.

The Correction Department's unwillingness to recognize differences in responsibility among Correction Officers depending upon their assign-

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ment along with thier inadequate training program would appear to us to contribute to the frustrations of the Correction Officers. These Correction Officers have themselves of their own initiative in many cases recognized the need to update themselves in modern penology techniques. They also see that as a result of such initiative some are performing some of the more responsible functions within the Correction Officer scope of duties with no status or monetary recognition.

6. Somewhat related to No. 5 but sufficiently important enough to make note of this + independency is our observation that the Department of Correction along with the staff agencies has not provided within the Correction Officer Series any incentive for self-improvement nor any recognition for those who have by virtue of their own initiative attained skills useful to the Department. Furthermore, there is no system by which the Department of Correction can become aware of the individual Correction Officers newly acquired skills and knowledges.

7. In looking at the grade levels assigned to Correction Officers, Correction Hospital Officers, and Narcotic Correction Officers and their supervisors, we find that every grade from 12 to 20 has been used. This quite naturally causes a group in one class to look at another class and compare themselves to that class. The result of such [illegible] finally distinguishes classes, causes problems for the employees and certainly problems for us who must be able to identify the differences from one grade, ~~to the next,~~ [illegible]

Our Solutions:

1. Approval of this application or for that matter a reallocation in line with that suggested by the Fact Finders would not go very far toward solving the problems that we found to exist during our field survey. There would still be the Department of Correction's inability

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or unwillingness to institute a meaningful training program and there would still be a wide range of responsibility from one Correction Officer to the next, promotion opportunity would still be limited, little incentive for self-improvement would exist, etc. Actually, reallocation at this point might bury some of these problems to the point where it may be many years before any meaningful discussion of them could take place between this Division, the employees, and the Department of Correction. Similarly, a denial of this application with no further discussion or recommendations would have the same result. Actually, it might even further bury the problems because the employees would probably be more unified than ever in demanding or requesting additional compensation through the simplest avenue available to them, the reallocation process.

2. We could attempt to develop a career program for the Correction Officer in cooperation with the Correction Department which would have the effect of identifying and distinguishing between two or possibly three levels of duties and responsibilities. It could include additional promotion opportunities to supervisory positions. It should include a broad comprehensive modern training program developed by the Correction Department which each of its Correction Officers must successfully complete.

Principal Classification and Pay Analyst

JS:sm

Evaluation of Correction Hospital Officer Survey:

Job audits were conducted at Matteawan State Hospital and Beacon Reformatory on May 12. These audits identify certain problems with regard to classification of these jobs and with regard to their relationship with Correction Officer classes.

1. Within the class Correction Hospital Officer, Grade 12, there is a wide variety of duties resulting in the performance of such duties at three grade levels. As with the Correction Officers, employees in this class perform duties at the following three levels:

a) Security--This task is typically performed at gate posts in the key room, communications room, etc.

b) Security and Inmate Supervision--Positions performing duties at this level work on the wards under the supervision of a Charge Officer or work in various other areas of the hospital or reformatory supervising groups of patients performing some work.

c) Security Inmate Supervision and Intensive Counseling or Ward Supervision During the Day or Evening Shifts--Typical of these jobs would be your Charge Officer on a ward; all those Officers working in the Intensive Rehabilitation Ward.

2. In addition to the above comments on levels of work performed, we found that the Correction Hospital Senior Officer on duty in the evenings is sufficiently as responsible a position as the Correction Hospital Charge Officer to warrant reclassification ~~to~~ At that title. On the night shift where all of the patients are, for the most part, sleeping, this title should be equated to the (b) level mentioned above.

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3. Although promotion opportunities in these two institutions appear to be slightly better than they are at some of the prisons and reformatories, there appears to be relatively few of these supervisory jobs for each of the entrance level positions.

4. As with all Correction Officer positions in institutions in the Hudson Valley area, the salaries paid by the City of New York for Correction Officers is an irritation to these men and women. They believe they should be paid at least on a par with these salaries paid by the City of New York.

5. We noted at both institutions a very tense atmosphere created by the unpredictable behavior of the patients toward each other and toward the Officers. This is especially true on the women's ward at Matteawan State Hospital. Our feelings while we visited a couple of their wards were simply that we felt it was impossible for these Officers to do anything except attempt to keep some moderate measure of order on the ward.

6. At Matteawan, there is what appears to be a very well run and well thought out training program. In addition to the training program, the Officers are encouraged to attend one of the local schools. However, there is no recognition afforded the Officer when he or she successfully completes his or her training. This, combined with a feeling by the Officers that their efforts are not as well recognized as Guidance Counselors, Institution Teachers, and Vocational Instructors, contributes to general dissatisfaction with the administration over the allocation of their jobs.

Alternative Solutions:

The solutions to the observations and/or problems noted above are very similar to those outlined in the evaluation of the Correction Officer Series. It would appear that a straight reallocation or a blanket denial would be inappropriate.

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It is almost mandatory if we are going to meet these problems head-on, for us to develop a career plan which would, in some measure, attempt to realistically meet the problems of the employees and the Correction Department. Such a plan will be submitted at a different date.

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June 1, 1970

Correction Officer Survey - May, 1970

Background and Observations

Institutions, as people, have distinct personalities. Contributing to these differences are the inmate population, the staff, the objective of the institutions and how these factors are ultimately put together and directed by the warden.

I first started with the Correction Hosp. Officer positions at the Matteawan State Hospital, a maximum security institution for the criminally insane. We covered the men's wards in the morning and the women's, including the narcotic facilities, in the afternoon. All patients are segregated more or less by age and their ability to get along with the other patients, the Correction Hospital Officers and generally to the hospital environment. The resulting mix stratifies the patients into homogeneous groups from the older, quieter and more docile wards to the young explosive and ill-adjusted personalities who are constantly in difficulty. We were given the opportunity to view the full spectrum of ward care available at this hospital.

All of the men's wards, with the exception of Security segregation, are open allowing free movement of the patients to read, watch T.V. and socialize with the other patients. An average ward houses between 30 and 40 patients. During the day they are assigned to the day room which is a large square room with a cage at one end where the Charge Officer has his desk, keeps the patients' records and medications which are locked in a cabinet. At either end of this room are single dorms which are always kept locked. At night the patients sleep in open dorms which are located on the next floor over the day room. The Correction Hospital Officers are physically

locked in with their patients during the tour of duty. All patients, again with the exception of those in Security segregation or those confined to the hospital ward, eat in the mess hall all at the same time. The Charge Officer and the Correction Hospital Officer bring the men in, stand security during the meal, and escort them back to the ward after the meal. Each ward has established committees made up of patients whose function it is to conduct a weekly ward meeting with the assistance of the Correction Officer. Problems are aired, ideas are exchanged, and when possible, patients' suggestions are implemented into the routine of the ward. Where possible, the Correction Hospital Officers are involved in group or family counselling, the most striking example of this activity being in the Intensive Care Unit.

The in-service training program at Matteawan is unique thanks to a $25,000 Federal Grant which, by the way, expires this June. The resulting training programs there afford the custodial staff a wide variety of training experiences. The hospital has, on a part-time basis, a training coordinator who is a professional in the field. All Correction Hospital Officers attend the department's Training Academy usually during their probationary period.

On the women's side, the routine of patient care and security is essentially the same as it is with the men, with one exception, the emotional nature of the female amplifies the many problems of the patient. As a result, this is resulting extremely difficult, if not impossible, to maintain order on some of the wards. The women Correction Hospital Officers who face these patients daily are courageous beyond the call of duty.

The correction people at Matteawan to the greater part appear to be better trained than those we met in the other Department of Correction institutions we visited. The type of individual they are working with in conjunction with their constant exposure to the patient in open wards demands this additional training. It would appear to me that they could meet problems daily that the average Correction Officer would only rarely really be exposed to.

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They must ~~be at their best at all times,~~ constantly be on their toes, be mentor, administrator and custodian, at all times working in an extremely tense and potentially explosive environment.

The big complaint at Matteawan as revealed by our discussions with the Correction Hospital Officers, is the salaries currently being earned by the Correction Officers in New York City. They apparently have frequent exposure to these people and have little respect for either their abilities or responsibilities.

From Matteawan we went to Wallkill Prison which is classified by inmates and custodial staff alike as a"country club." Wallkill is the only ~~minimum~~ medium security prison in the state. Inmates are recommended or selected with an eye toward involving those who want and would benefit most by academic and vocational training. They must be well-adjusted socially as well as emotionally in order to survive in this type of institution. There are no walls or fences and very few locked doors. "Buttoned"inmates drive trucks and tractors around the institution grounds and on the 850 acre farm. Inmates work in the fields under the supervision of a Farmer. As all inmates must be involved in academic and/or vocational training, at least half of their day is spent under the direct supervision of a civilian instructor. The other time, the inmate is assigned to some work daily, usually under the supervision of a Correction Officer.

In-service training at Wallkill is non existing with the exception of a well-organized group counselling program. During the primary discussions, the Warden voiced concern over the lack of training for his custodial people. All Correctional Officers prior to transfer to Wallkill have had ~~abundant~~ several years of service. The majority of these people will have little training outside of that offered by the Department's Training Academy. As this institution is the seat of the Group Counselling Program in the state, it is looked upon with much affection by all on the staff. Participation is voluntary on both the part of the Correction Officers and inmates.

Wallkill is looked upon as being extremely good duty by both the officers and inmates. For this reason, little or no inmate trouble is ~~expressed~~ experienced. If it is, those ~~responsible~~ inmates involved are shipped out to a maximum security prison on the order of Great Meadow or Green Haven the next day. Outside of the group counselling there is no formal rehabilitation effort being directed by the custodial staff. As in all institutions, many posts are of a security nature with a minimum amount of inmate contact. Those Correction Officers working in the galleries will supervise cleaning details and as the inmates have free run of the prison until 10 p.m., the Gallery Officer will have little exposure to those inmates assigned to these corridors unless he happens to be on one of his work details or is a member of his group counselling session.

The Elmira Reformatory, like Wallkill, is strong on academic and vocational training, but unlike Wallkill is bordered by a high wall, wall towers manned by armed Correction Officers, locked gates, and officers carrying billies. The vocational and academic programs are run by civilian employees with security being available from nearby posts. No Correction Officers are stationed directly in the schoolrooms or shops. Most of the posts I visited at this institution were primarily concerned with security requiring a minimum amount of inmate contact. The contact they ~~would~~ do have was on a transient basis, that is, the checking of passes ~~in maintenance~~ or order ~~and~~ in an assigned area or the supervision of a small crew in cleaning or general maintanance work around the prison. If the Correction Officer has something extra to offer in addition to his security skills, that is a trade or some other job specialty, it is not unusual to find him assigned to a post where he is responsible for supervising and assisting a group of inmates performing this type of activity. The best example of this fortunate blend of man and talent at Elmira was in the Auto Maintanance Shop.

Here as in the other institutions we visited, mention was made of their Group Counselling Program. No in-service training is available to the Correction Officers at this institution. Those interested in improving job performance or expanding his knowledge in the correctional field are encouraged to attend one of the colleges in the Elmira area offering approved courses in law or criminology.

A surprisingly large number of Correction Officers have many years of service. They claim to remember the days when the Correction Officer was one of the top jobs in the prison. This is no longer the case. In addition, the Correction Officers' salary was at one time greater than that paid a State Trooper, attracting several in the institution to this job. Now they find themselves following further and further behind the State Police salaries and are becoming increasingly frustrated by their lack of movement. The limited promotional opportunities and the problems of promotion for a Correction Officer wi long service has been cataloged by Mr. Soeller in his brief on the Reformatory.

The Elmira Reception Center.- I see two critical periods for an inmate ~~in-service~~ time ~~in a state prison~~. The first is the initial screening and classification and the second is the preparole period. The Reception Center is a functioning diagnostic center located in one wing of the Elmira Reformatory. It is, from all evidence we could gather, performing its responsibilities to both the State of New York ~~and~~ as well as to the inmates passing thru very effectively.

The one position I audited was the Company Officers post. The details and implications of their responsibilities have been incorporated into my notes for the Reception Center.

~~Of the many positions I audited, this one is by far the best, demanding extraordinary performance on the part of the Correction Officers assigned to functions at this~~ unwarranted level.

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The Correction Department talks of the Correction Officers involvement in the counselling, guidance, and rehabilitation of inmates. This is one position that is living up to these claims. It should be noted that outside of the challenge of this job and the attributes and abilities the Correction Officer is required to bring to it, the department or the institution currently offers no in-service training to assist these people.

Camp Monterey is a youth camp located approximately ten miles west of Watkins Glen. This is preparole camp for camp men drawn from the other three youth camps in the state. They are in attendance at Camp Monterey for approximately the last three months of their sentence. Concerning the function of this camp, that is preparole, no special programs were evident on behalf of the camp men for any special training is being offered the Correction Officers stationed here. They did claim a group counselling program, but under the conditions of involuntary participation, the short time the camp men were there, and the fact they would have a different leader each week, would tend to reduce this program to little more than a weekly camp meeting that all had to attend. Their occupation at this camp appears to be keeping the boys physically occupied in camp maintenance and conservation activities in the area. The Correction Officers did not wear uniforms and appear overly involved in the problems of camp maintenance.

What comes out of this is the realization that we are not dealing with one homogeneous class of positions with like duties and responsibilities, but a heterogenous class with quite diverse responsibilities.

The institutional environment will also vary depending on the characteristics of the inmate or patient population and the general objectives of the

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institution.

A Correction Officer assigned to the Charge Office performs basically a routine clerical function with no inmate contact. A wall post shift in some institutions is reserved for older Correctional Officers or those with a physical disability who cannot function in an assignment demanding inmate contact. At the extreme end of this spectrum are the Correction Hospital Officers assigned to posts in the Intensive Care Unit at Matteawan or the Company Officer at the Reception Center. The department does not appear to be responding to these differences with any kind of formal training programs beyond that offered at the Training Academy and with the exception of the fine program being offered at Matteawan. Their battlecry is rehabilitation, but little effort is apparent on the part of the department to prepare their custodial staff for this difficult assignment. As a result, the Correction Officer is caught in the middle between the department's objectives and his own abilities.

They do point to their group counselling program with justifiable pride, but this is a limited program involving relatively few Correction Officers and inmates participation is on a voluntary basis. I fear that one reason we hear so much of this program is that it is all they have to talk about. The department's response to training appears to be to encourage all interested to attend criminal justice courses at local colleges or universities. This is good, but if a man does complete this college training, it is not recognized with any improved promotional opportunities or with any more money. I suspect that those few attending college on a part-time basis are doing so to improve their opportunities for advancement outside of the department. The Employee Rule Book assigned to all new Correction Officers is considered only with the facts of custodial behaviour, attendance and the like,

Against this background, how can we best respond to the needs of the Correctional Officer in a manner compatible with good classification practice and still recognize the problems of this class as delineated earlier in this report.

I see a plan on the order of that currently followed by the Federal Government for their Correctional Officers as being the one that best responds to the problem we are faced with. This plan recognizes three levels of performance based on the degree of correctional skills required to perform his assignments. These differences deal with the nature of the correction problems dealt with and the range of correctional responsibilities assigned to the position. These are itemized on page three of the attached document (A).

A monograph entitled "Focus on Inmates" published by the Moran Institution, St. Lawrence University ~~accepts this concept as being the best to meet the problems of the Correctional Officers allocation~~. The essence of their position is contained in the following quotation: "A person whose job is merely to open and close a gate for eight hours, should not have the same pay level as someone involved in group counselling and other related treatment efforts." A copy of a section of this report is attached (B).

Attachments

LR:mr

6/2/70

Comparative Analysis of Program Emphasis in the Department of Correction and in NACC

Correction Department:

The role of the Correction Officer in the Department of Correction's inmate rehabilitation program varies tremendously from post to post and institution to institution. The rehabilitation program is comprised of academic education, vocational education, OJT industrial experience, institution work crew assignment, and limited professional counseling. There is no consistency in the individual Correction Officer's approach to his responsibilities. No standard conduct can be determined.

The term, "School Officers" may refer to a Correction Officer who patrols school corridors and who does not enter the classroom unless called by an instructor, or may describe a Correction Officer who is an assistant instructor in a vocational shop where he works with the inmates every day instructing them in some trade.

An industrial shop officer may be functioning as a silent overseer who rarely communicates with the inmates and who sees his ~~shop~~ job as being ~~solely~~ maintenance of security within the shop area, or he may be functioning as an assistant shop foreman familiar with the various ~~steps~~ operations in the processing ~~of the~~ shop and constantly assisting the inmates in performing their tasks and helping to solve operational problems.

The Department of Correction is undergoing a role identity crisis which is reflected in the custodial staff. To house the convicted criminals of the State in a secure setting removed from the main stream of society. For years the Correction Department has directed its energies and its funds toward fulfilling this responsibility; to rehabilitate those in the State Correction Institutions so that they can be returned to society is a much greater responsibility.

There are some real doubts that the Correction Department has the administrative commitment or the financial support needed to fill this latter responsibility, as well as the former.

Almost everyone we spoke with felt that such things as group counseling and intensified rehabilitation efforts were the thing of the future. They also believed this trend would involve continuous intensive in-service training for the Correction Officer staff and expansion of the professional counseling staff in the institutions. Many of those who spoke along this line were men who were pursuing education in the field of criminology at colleges and universities across the State. Not one person was able to point to a single official department statement to support these assumptions.

If there is to be real Correction Officer involvement in an intensive rehabilitation program based on group counseling, there is going to have to be substantial increases in staff on all levels and in all areas, establishment of continuous in-service training, and real commitment must be exhibited from the top down.

NACC:

NACC has done a good job at trying to integrate both security responsibility and rehabilitation program. It is impossible to judge the degree of success because of the relatively short period that the Commission has been in existence, but the nature of the program is today very obviously intensive rehabilitation in a secure surrounding. The NACC program is comprised of academic education, vocational education, limited institutional work crew experience, and involvement in a regularly scheduled intensive counseling program.

In all rehabilitation centers, at least some Narcotic Correction Officers are involved as counselors or co-counselors in the group counseling program area. As in the Department of Correction, the Narcotic Correction Officers' involvement in the education and work program areas vary from post to post and institution to institution. The overall impression of the NACC operation is that there is a

sincere effort made to let the Narcotic Correction Officers know where they fit into the Commission's program. We found in many institutions that the various problems have curtailed the in-service training operations so that there are definite problem areas. However, there ~~seems to be~~ is a more specific administration idea as to what role the Narcotic Correction Officer ~~is to~~ should play in the overall ~~program~~ rehabilitation program. The same cannot be said for the Department of Correction.

MJR:sac
6/15/70

M E M O R A N D U M

April 13, 1970

TO: Director of Classification and Compensation

FROM: Mr. Alois J. Soeller

SUBJECT: Recommendations of Fact Finding Panel concerning the reallocations of Correction Officers from Grade 12 to Grade 13

* * * *

In its recent report, the fact finders dealing with the impasse procedure involving security unit employees "recommended" one grade reallocations of Correction Officers and related titles (Correction Hospital Officer and Correction Youth Camp Officer).

In its findings, the report supported such a recommendation on three bases:

1. The rehabilitation and modern treatment techniques used by Correction Officers in dealing with inmates.

2. Salary relationship between Correction Officer and Traffic and Park Officer and Park Patrolman.

3. An attempted demonstration on the part of Council #82 to the effect that Correction Officers have a lower pay in New York State in relationship to other classes as compared with similar comparisons in other states (PPA survey) and the city of New York.

With regard to the first of the above factors, it should be noted that the Correction Officers have been using this as a basis for reallocation since 1955 and that such a case represented to the Civil Service Commission in 1965 resulted in a one grade reallocation. Prior to the Civil Service Commission's decision, we recognized that certain Correction Officers had duties added to their job as a result of these advances in the treatment of inmates. At that time, we offered to set up a new class for these few Correction Officers performing such duties. This was not acceptable to the Department of Correction and the Correction Officers' Association and accordingly, our determination was appealed to the Commission and the entire class was reallocated one grade.

In the fact finding report, the fact finders appeared a little bit confused, as was I when I read their report, when they talked about their relationship between Correction Officers, Park Patrolmen and Traffic and Park Officers. As best as I can reconstruct the salary relationship in 1965 which for some reason was the year chosen by the fact finders to use, the following relationships existed:

Correction Officer, Grade 11
Traffic and Park Officer, Grade 13
Park Patrolman, Grade 11

The present relationship shows:

Correction Officer, Grade 12
Park Patrolman, Grade 12
Traffic and Park Officer, Grade 14

This seems to me to show that the relationship in effect in 1965 remains in effect today. One point which may have confused the fact finders a bit was our action in reclassifying a number of Park Patrolmen to Traffic and Park Officers recently. However, in any event, it seems to be no basis within this relationship that would warrant reallocation.

The third item which the panel uses as justifying the reallocation seems to be less valid of all. Council #82 submitted quite a bit of salary data for a large number of classes not related to Correction Officer. They then developed a ratio between Correction Officer and such classes and purported to demonstrate that in relationship to these other classes, the Correction Officer's salary in New York State is lower than in the city of New York and the contiguous states.

The State contended and we still contend that in the absence of making judgment concerning comparability of duties and in the absence of making a judgment as to which public jurisdiction has the proper salary relationships that the resulting numerical conclusion is just a series of numbers without meaning.

Principal Classification and Pay Analyst

AJS:sm

Based only on S-1 application

Q1

This determination is concerned with an application submitted to the Director of Classification and Compensation, on _____, 1970, by Mr. William Ciuros, as an employee of the Correction Department, and as President of Security Employees Council 82, AFSCME, AFL-CIO. The application requested the following reallocations:

Title	Present Grade	Requested Grade

These requests are based almost exclusively on the record of the Fact Finding proceeding occasioned by the recent impasse between Council 82 and the State. Council 82 chose not to repeat this record in detail but to highlight certain information which it had presented to the Panel, and to discuss certain statements contained in the report of the Panel.

Findings of the Fact Finding Panel

Before commenting on the data presented to the fact finding panel and made a part of this application, it is pertinent to note that in the findings, the Panel discussed the merits, in their opinion, of the reallocation of Correction Officer and other classes but they did not actually recommend reallocations. In fact, on Page 29 of the report of the Fact Finding Panel the members declined to make a recommendation -- "But recognizing that there is a significant question which remains unresolved, we do believe that, under the circumstances, a recommendation with respect to our findings would be inappropriate." Even had such a recommendation been made there would be no compulsion or legal authorization to follow it since the responsibility and authority for reallocations rests solely with the Director of Classification and Compensation, and determinations must be based on his evaluation of the evidence and his judgment. In this connection, it is interesting to note that the Fact Finders commented on the legitimacy of differences of opinion in such cases -- Page 25 of their report: "The determination of the proper allocation of a particular classification is, of course, not a simple process. It involves the exercise of judgment dependent upon an evaluation of many different factors, including a consideration of both internal and external relationships. But in the exercise of any judgment, necessarily one involving the complexities of evaluation and allocation, there can be a legitimate and reasonable difference of opinion." While this statement has been quoted out of context, we maintain that it can stand by itself, as a good expression of the reason why allocation determinations should be made by one who has the legal authority and responsibility and who acts on the basis of complete and accurate information and with full knowledge of the complete classification and compensation plan and the job interrelationships involved. The Fact Finding Panel could not be expected to possess this extensive knowledge of the New York State Classification and Compensation system as the result of only a few days' exposure in a proceeding primarily directed toward a relatively few State classes.

Relative Salary Relationships in State Service Compared to Other Jurisdictions

Council 82 places considerable emphasis on its Exhibits 13, 14 and 17, which purport to show that the relative salary position of Correction Officer in New York State is less favorable than in New York City, adjacent States, or the Federal Government. There is no direct comparison of salaries paid but rather, a listing of titles and salaries in these other jurisdictions. This is followed by a comparison of the ratio of the salary of Correction Officers and other titles to that of lower and higher paid titles in these jurisdictions vs in New York State. On this basis Council 82 concludes that in these other jurisdictions the Correction Officer and other titles are paid relatively higher in the hierarchy than they are in New York State. Thus, it is contended that these titles should be reallocated to improve their relative position and make it more comparable to that existing elsewhere. We cannot accept this method of salary-setting. The reasons for this were largely set forth at the Fact Finding hearings but bear repetition and elaboration here:

1. In administering a Classification and Compensation Plan each employer considers the many and varied factors which are of importance to him -- internal relationships based on complexity of duties and responsibilities; recruitment and retention problems; competitive salaries; economic conditions; program and policy emphasis, and the like. Since these factors are not necessarily of equal importance in every jurisdiction, and since pay plan administration is not necessarily of equal competence in every jurisdiction, it follows that job relationships will not always coincide from one jurisdiction to another. Therefore, there can be no presumption that relationships in one or a group of jurisdictions are more correct, equitable or rational than in another. It should be noted that Council 82 apparently does not disagree with this conclusion. One of its major witnesses, Mr. Homer, clearly stated at the fact finding hearings, while discussing Exhibit 13 dealing with the ratios in the City of New York, that "I certainly would not as a professional conclude simply on the basis of this showing that either New York City or New York State was correct. No professional would do that." (Page 186-187, Transcript of 2/25/70.)

2. To be more specific we point out that there is a wide difference in the Classification and Compensation Systems in New York State and New York City, one of the jurisdictions used for comparison. The State system is a single integrated one, covering practically all civil service employees. In contrast, in the City of New York the vast majority of all titles and employees are no longer included in the Career and Salary Plan. They have been divided into hundreds of individual bargaining units and the rates of pay in any one unit will not necessarily bear any relationship to those in another. In other words, there exists in the New York City service, in effect, hundreds of individual and unrelated compensation systems. The salaries applicable to these various systems are bargained for individually by many different employee organizations, at different times of the year, for varying periods of time, and with varying results. Since there is little or no relationship between the salaries established individually in these hundreds of separate units it follows that there is no rational basis for comparing relationships established without design, to those existing in the New York State system, which have been developed in a systemic integrated manner.

3. In comparing salary ratios, Council 82 has concluded that certain other jurisdictions provide a more favorable ratio for Correction Officer than does New York State. In this type of comparison, it would be just as logical to conclude that, in these other jurisdictions the titles to which Correction Officer is compared (Stenographers, professionals, etc.) have a less favorable ratio vs Correction Officer than in New York State. In other words this "evidence" could be viewed in whichever way suits the purpose at hand, and thus it is basically irrelevant. To have any meaning at all, it must be coupled with a consideration of where New York State stands with regard to actual salaries paid, and this Council 82 has avoided. Salary comparisons appear elsewhere in this report. (Incidentally, had Council 82 compared ratios in all States for which data were available, instead of only the contiguous States which they selected, the result would have been quite different.)

Correction Officer Positions in Federal Government, New York City vs New York State

In the Brief, Council 82 draws a comparison between the type of inmate in New York City and Federal Prisons, as compared to those in the New York State Prison system. It alleges that all inmates in the State system are convicted criminals (as opposed to many awaiting trial in the City system); and that most State prison inmates are incarcerated for serious felonies, or for crimes of violence, whereas a substantial proportion of Federal prisoners are convicted of non-violent offenses. Because of these allegations, it is concluded that if there is any justification for a difference in relative status between the State Correction Officer and the others, the advantage should favor the State positions. This is based on claims of greater responsibilities and personal hazards in the State system. Furthermore, Council 82 attempts to justify reallocation on the "relative" place of the Correction Officer in the New York City and Federal systems as opposed to in New York State.

We have already commented on Council 82's arguments concerning relative pay status. We further point out the following:

a. The salary of New York City Correction Officer is equated with that of Patrolman. This resulted from the collective bargaining procedure. We cannot agree with this equality for New York State on the basis that a full-fledged Police Officer has a wider variety and more complex responsibilities. He functions in a non-controlled setting without direct supervision, enforces varied laws, conducts investigations of crimes and accidents, apprehends violators and develops community relationships. Apparently Council 82 also recognizes that this parity should not be applied in the New York State service since they propose a lower grade for Correction Officer than for various Police classes. Hence, a comparison with the rate paid for Correction Officer by New York City is not compelling since it was established on the basis of parity with patrolman.

b. The allegation that State systems contain more difficult or more hardened criminals than the New York City or Federal systems, invites salary comparisons with other States, where the type of inmate should be comparable to that in New York State. The Public Personnel Association report for rates in effect April 1970, which Council 82 uses in one of its exhibits, shows that New York State's maximum salary is exceeded only by that of Alaska, where living costs are known to be very high, and two others.

c. In the Federal system grade distinctions are based on differences in assignment, whereas in New York State there is only one level of non-supervisory Correction Officer. This difference, and accordingly existing compensation differences will be affected by the implementation of our determination.

Findings Based on Field Study and Hearings

In the course of our field study, during May and early June, 1970, representatives of the Classification and Compensation Division visited, toured, and spoke with employees, in 15 correctional facilities in which employees involved in these applications are employed. Prior to this they secured background information from officials of the Correction Department and the Narcotic Addiction Control Commission, to assure complete information and to be certain that the field visits would provide a good sample of the work being performed statewide.

CSEA

The Civil Service Employees Association puts forth the following reasons in support of their request for the reallocation of Correction Officer, Correction Hospital Officer and Correction Youth Camp Officer, from Grade 12 to Grade 14:

a. Comparison to salaries paid for similar or like positions in other jurisdictions, preferably within New York State.

In developing this point the CSEA relies completely on the salary paid by the City of New York for Correction Officer. In the application it is stated: "The fact of the matter is that a political subdivision within the State of New York is paying annual salaries for the same class of positions much higher than those paid by New York State. This situation is intolerable and should be rectified immediately by upgrading the New York State titles at least two grades." If this criteria were to be universally applied, and there is no valid reason why it should apply to only one or several classes to the exclusion of all others, it would be necessary to seek out the highest rate being paid by public jurisdictions in the State for each and every class for which comparisons could be made. These rates would then have to be matched by the State. The result would be a hodgepodge of salary rates of such magnitude that any rational and reasonable salary system would cease to exist.

"Actually, for the rank and file (3500 or more) of the Correction Officers, there has been no significant or material change in duties and responsibilities for at least the past 10 years. However, during that period, with the commencement and recent expansion of inmate group counselling, and with increased emphasis on other rehabilitative programs, a relatively small number of specially selected and trained Correction Officers (as well as employees in other classifications) have become involved in treatment and rehabilitative work as such. We know this to be so from first hand observation and from other indicia.

"In 1960 and 1961, staff analysts of the Classification and Compensation Division made on-the-job field audits of Correction Officer and related positions in all institutions of the Department. It was apparent to us from a consideration of work assignments and from our observation of the manner in which the officers carried them out that security and custody are elements of prime importance in these positions. And, it was equally apparent that the officers, by their own personal conduct, by their attitudes towards inmates, towards their brother officers and their superiors, and by their manner of dealing with inmates, can do much to bring the inmate and the rehabilitative personnel together. This concept is well expressed in the Department's "Introductory Course" Training Manual (1962 Revision) at Page 35, in the following language:

> 'It is the duty of Correction Officers, by example and advice, to encourage inmates to improve their attitudes and behavior and to engage in those activities of the institution which will prepare them for desirable social living upon release.'

"This is not a new aspect of Correction Officer work, nor was it new 10 years ago. Since positions in the correctional institutions came under the State's classification plan in 1942, Correction Officers have been required and trained to assume these attitudes. We know that some Correction Officers, and particularly those who are engaged in group counselling activities, have a more positive involvement in the rehabilitative program than that suggested by the foregoing."

Our field work during May and June 1970 showed the situation to be essentially as it was described in the 1965 decision, and did not reveal any "continued changes" as alleged by CSEA.

c. Consideration of the Internal Alignment of positions within New York State's Compensation Plan.

Although CSEA states that many comparisons with other classes could be made, they rely completely on a discussion of the salary relationship between

Furthermore, there exists no valid justification for establishing salaries in, for example, the extreme northern part of the State with those being paid only in the extreme southern part.

Admittedly, the New York City Correction Officer salaries are substantially in excess of that paid by New York State. However, they exist as a result of collective negotiations which resulted in equality with Police Officer salaries, a relationship which we cannot agree is proper for New York State.

On a broader comparative basis New York State's Correction Officer salary is in good adjustment. The latest salary survey report of the Public Personnel Association shows that, as of April 1, 1970, our Actual Maximum salary ranks fourth among 41 States reporting.

b. Changes in the duties and responsibilities of the classes for which application is being made.

CSEA admits that the one grade reallocation in 1966 (a) was based primarily on the "rehabilitative aspects of these positions" but that that was a "meagre adjustment for drastic changes in these positions which reflect conceptual changes in the field of penology." It is further contended that there have been continued changes in the duties and responsibilities of the positions.

In 1965, a decision disapproving the reallocation of Correction Officer [illegible] on the [illegible]:

Correction Officer and Parole Officer. They point out that these classes were formerly in Grades 11 and 16, a five-grade difference. Now they are in Grades 12 and 19, a seven-grade spread. CSEA contends that these classes are interrelated and that reallocation of Correction Officer is necessary to restore the former salary differential.

Obviously, salary differentials once established need not be continued unchanged forever. If this were to be the policy the reallocation of any one class would mandate the reallocation of all other classes. As far as Parole Officer is concerned, reallocations have been based on the difficulty in recruiting candidates with the required background. In addition, they have been accompanied by the establishment of a two-year trainee plan and thus the requirements for the Grade 19 Parole Officer class are greater than those which applied to the class when it was allocated to Grade 16.

d. Problems in recruiting and retaining qualified personnel.

The only elaboration of this point offered by CSEA is a self-evident statement that "It is logical to conclude that a Grade 14 salary range would be much more attractive in the recruitment and retention of qualified Correction Officer personnel than the annual compensation offered by Grade 12." This statement could be applied to any class or any higher salary grade. No evidence was

submitted regarding recruitment and retention experience at Grade 12. The following shows that there is no problem:

1. As of September, 1969 the Correction Officer vacancy rate was only 3%, which is ~~relatively~~ very low.

2. Recent examinations have produced a very good supply of candidates.

3. A study made by the Personnel Services Division, Department of Civil Service, for the period September 1, 1968 - August 31, 1969, reveals that the resignation rate for Correction Officer was 5.1% as compared to 15.0% for the total State service.

JJB:lf
7/9/70

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MEMORANDUM

July 9, 1970

TO: Mr. Cornelius M. Hanrahan

FROM: Mr. Robert Tassi

SUBJECT: Hearing notes - reallocation Council #82 AFSCME

DATE: June 30 - PLACE: Chancellors Hall

PRESENT: Classification and Compensation Division - Cornelius M. Hanrahan; Bertrand J. Galvin, Robert Tassi, approximately 130 members of Council #82

List of Speakers:

Mr. William Cuiros	-	President of Council #82 AFSCME
Mr. Willis Stephens	-	Assemblyman
Mr. I. J. Gromfine	-	Attorney and Consultant for Council #82 AFSCME
Mr. James Kane	-	Correction Lieutenant - Great Meadow
Mr. Maurice Blow	-	Superintendent - Catskill Reformatory
Mr. David Greer	-	Correction Officer - Elmira Reception Center
Mrs. Unis Buckland	-	Correction Lieutenant - Albion State Training School
Mr. Harold Estep	-	Correction Officer - West Coxsackie
Mr. Warren Cairo	-	Correction Officer - Catskill Reformatory
Mr. Ulysses Sampica	-	Senior Correction Hospital Officer - Dannemora Clinton and Diagnostic Center

* * *

The hearing started at 10:30 a.m. with Mr. Hanrahan welcoming members of Council #82. He gave them the reason and the authority for the hearing. He informed them of Council #82's reallocation request and also that an application for reallocations of certain titles in the Security Unit was made by CSEA. The first speaker for Council #82 was William Cuiros. He stated the request for reallocations and also made mention that Council #82 was the certified representative for these employees in the Security Unit. Besides the noted reallocation request, he also stated that Council #82 had made requests for the reallocations of the Institution Safety Officers at State University locations and also reallocations for all other titles in the Security Unit. He stated that Council #82 was here in protest not against the Classification and Compensation Division but against the Governor and his negotiation staff. He felt that Council #82 was forced before this forum by the Legislature, by their decision that reallocation is not a part of collective bargaining. Council #82's position is that the reallocation process is fundamental to good collective bargaining and that the employees are participating in the establishment of salary rates for their positions but now with the ruling of the Legislature the employees have only the right to ask for reallocation. He felt that the reallocation cases which are before us are so strong that they should not be granted for accommodation only but on their merits. Factors which we consider in granting a reallocation are significant changes in job content and an internal

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alignment with other positions in State service. He believes that we should consider the importance of Correction Officer work in the protection and benefits which it affords people of the State and that in order to recruit and retain competent people now and in the future salaries for Correction Officer jobs will have to be increased. He read excerpts from three publications which dealt with the need for moonlighting by Correction Officers, the generally low salaries paid these positions, low salaries being the major cause for people leaving this field and the emphasis of correction work switching from custodial and security duties to rehabilitation of prisoners. The correction work in the State will not be performed as it should be with emphasis on rehabilitation unless the reallocations requested are granted.

Assemblyman Stephens endorsed the applications of both Council #82 and CSEA for the various reallocations. He said that the jobs are more difficult because the officer now is involved in rehabilitation work and had to be acquainted with counseling techniques. The greater demands on the officer's mind and body should give grounds for reallocation.

Mr. Gromfine questioned each of the speakers in regard to their work at the various Correction Institutions and on their views of the changes in corrections work. All seemed to agree that the changes in Correction have been drastic in the last three to four years as the emphasis has moved from custody and security to rehabilitation of the inmate. Besides this trend towards rehabilitation, the inmate population has changed in that they are no longer coming from the deprived areas but are coming from the urban areas. These inmates are more sophisticated and better educated. In fact, many have received a college education. These people have complex social and psychological problems. To further indicate a change from custody to rehabilitation mention was made that there had been significant changes made in the rules of conduct and procedures to be followed by Correction Officers. To illustrate this an example was given that a few years back a guard was not to talk to inmates in certain areas of the prison but now they are requested to talk to the inmates whenever possible. It was generally felt that to introduce the changes necessary to go from custody to rehabilitation there will be a need for better trained and better qualified people. It was the belief of many that in years to come Correction Officers will have to be college graduates.

Correction Officers are now in constant contact with the inmates and provide counseling continuously. In fact, the professionally trained people who are engaged in treatment of the inmates are only available on a very limited basis. Because of the frequent contact with the inmates by Correction Officers they make reports to the Psychiatrist, Psychologist and Social Workers to assist them in the evaluation of the inmate's progress or lack of it. In fact the Correction Officers are members of the Board reviewing the inmates eligibility for parole. To further illustrate the important role played by the Correction Officer, the officers at the Elmira Reception Center participate on the Board which classify the inmate for treatment and recommend what portion of the sentence he should serve. The Correction Officer's recommendation carries equal weight to that of the professional members on the Board.

Correction Officers, both male and female, put emphasis on the fact that they are the father and mother image to the inmates.

Group counseling was mentioned by all the speakers as being an integral part in the rehabilitation of the inmates. Training in group counseling is made available by the Correction Department but the officers have to choose to take this training. They have to attend these courses on their own time and many of them are availing themselves of this training. However, it was stated that while group counseling is important, many penologists claim that the informal counseling which takes place throughout the day by the Correction Officer is probably more important to the rehabilitation of the inmates.

Following are some examples given by Correction Officers of the informal counseling which they perform:

1. In the evening the Correction Officer making his rounds of the cell block is asked to spell a word by a prisoner who is writing a letter home. The significance is not so much in the assistance given to the inmate in spelling but the rapport which has been established between the Correction Officer and the inmate.

2. A Correction Officer brought 30 inmates back to the cell block for lock up for half hour and upon releasing them the count revealed that there were only 29. Knowing that the inmate who is not in the group was confined and could not escape the officer who was on a break could have forgotten the incident but because of his concern for the inmate he went to the block and checked the cells. He found the inmate in a pool of blood as he had slashed his wrist with a razor blade and because of his concern he saved this man's life.

3. At Dannemora Prison there is a unit called the Clinton Diagnostic Center which deals with recidivists. Out of the 200 recidivists released from the Center only three have committed new crimes although others have violated parole. Because of the success in this program plans were made to expand to two more units at this Center. The money for these two units has been appropriated but nothing has been established yet.

4. It was claimed that there had been many instances where parolees who have found themselves with a problem while outside the prison have called a Correction Officer that counseled them while in the prison either at their home or at the prison to ask for assistance. It must be noted that they called a Correction Officer rather than their parole officer.

Mr. Blow, Superintendent of Catskill Reformatory brought out the fact that his institution is being utilized to house 1000 inmates from Rikers Island and that two other State institutions are also housing prisoners from this New York City prison. He says that he finds it difficult to reconcile the fact that New York State Correction Officers handling the same prisoners as those handled by New York City Correction Officers are paid considerably less than New York City Correction Officers.

Mr. Gromfine, in his closing statement, said that line officers working with Youth Camps have no supervision for certain periods of time and have to work in conservation areas with groups of youths with no one around to help. The Correction Officer dealing with a narcotic patient is not dealing with a person who is a criminal in the usual sense but with someone who being under the influence of drugs might attack at any time. Mr. Gromfine referred to the 1965 denial by Classification and Compensation of the application for reallocation of Correction Officer which was reversed by the Civil Service Commission on appeal. He took issue with the Classification Division's denial being based on internal alignment rather than pay rates in other jurisdictions. Most of his presentation was concerned with the comparison of New York State jobs with New York City jobs and the relationship between New York City Correction Officer's salaries and salaries of other positions in New York City and the relative position of New York State Correction Officer's salaries with similar positions in State service. Mr. Gromfine said that while the Fact Finding Board recognized that Correction Officers are underpaid by their recommended one grade reallocation, it was not sufficient. He believes that their recommendation was based on erroneous salary information on Federal Government Correction Officers. Had they had the correct information their recommendations would have been higher. He stated that Mr. Kelly had said that in 1969 the majority of Federal Correction Officers were in GS-6 but Mr. Larry Ketcham of the Federal Bureau of Prisons indicates that GS-6 is the training grade. He supplied the following information on Federal Correction Officers; GS-6 in training grade - 205 employees; GS-7 - 1812 employees; GS-8 - 426. Since other typical GS-7 positions compare to New York State Grade 14 positions such as Assistant Accountant, Psychiatrist and Home Economist, Correction Officers should be equated to Grade 14. He also claimed that Federal Correction Officers deal with inmates who are not felons having committed crimes of violence but are tax evaders and numbers takers which indicates that New York State Correction Officers deal with inmate populations which are generally more difficult to handle.

While Correction Officers have stayed in Grade 12, Correction Counselors have received five grades in five years. The significance of this is that the Correction Officers are the ones who make the counseling programs go at the institutions and therefore they should receive the requested reallocation. He made a plea that the Classification Division urge the Budget Director to grant the reallocation requests retroactive to April 1, 1970. However, he based this request partially on the fact that the Correction Officers have not received the money that they should have received had the Fact Finders recommendation been implemented.

Senior Classification and Pay Analyst

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New York State Vocation Institute at Coxsackie DX C G 19

On May 20, Mike Roche and I traveled to Coxsackie to interview Correction Officers at that institute and determine the duties of the various posts. When we arrived we met with Mr. Murphy the Superintendent and later met with Gerald Patterson the Assistant Deputy Superintendent.

Before starting our tour both of these gentlemen provided us with some background information on the institute. As of the day that we were visiting, the inmate population of Coxsackie was 530. Anywhere from 60 to 70% of the population is engaged in both academic and vocational training. The inmate's ages range from 16 to 21, the majority of which are youthful offenders although there are some felons. The average stay for any inmate is approximately 18 months. Mr. Patterson informed us that the IQ of the inmates ranged anywhere from 80 to 116 or 120, And indicated that this would be average for any group of 500 kids taken off the street. Along with the academic and vocational program the institute runs a cannery which is run by two COs. In the late summer and fall, the production is approximately ten thousand number ten cans (1 gallon) of fruits and vegatables. Since there is a constant turnover at Coxsackie the two COs must train the inmates annually in the operation of the cannery.

Coxsackie also has a rather large farm on which they raise pigs, dairy cattle, chickens, fruits and vegtables. The farm has 720 tillable acres. They have a program of 6 year crop rotation, 3 years of grain, 3 years of grass on 50 acre plots. Attached to the dairy barn is a pasturizing plant. This plant is operated by a CO with inmate help. The Officer on the 8 to 4 shift runs the plant while the Officers on the other two shifts are primarily for security. The pasturizing plant produces about 3 thousand pounds of milk a day. It produces all the milk used at Coxsackie and every other day 40 to 50-40 quart cans are shipped to Wallkill. The CO who works in the pasturizing plant also works in the farm office preparing reports, Payrolls parole, assisting the veterinarian when he makes calls and helping inmates with treatment of the cattle. All officers working on the farm must have some farming knowledge to help instruct the inmates. Since the inmate population has such a large turnover they are constantly training new inmates on farm procedures. The farm

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manager makes all inmate assignments. However on the farm there are eleven COs which includes two relief positions ~~and~~ who man the following posts. There are two Mounted Conservation Officers who patrol the farm area. Officers are also assigned to the bakery, dairy 1 and dairy 2; two are assigned to the tractor shed; one in the orchard.

The CO at the piggery along with his responsibilities for security, provides all instructions on running the piggery and the butchering of pigs and cows for meat. All of these officers are in daily contact with groups of inmates and while there is a formal group counseling program at the institute it was emphasized that the CO is constantly counseling inmates either on an individual basis or in groups in his daily associations with them.

The academic program in the institute runs from grade school through high school. Inmates may earn their high school equivalency diploma or prepare for college. Each year the college proficiency program is given at the institute.

The vocational shops provide an apprenticeship program. It was pointed out that in these shops many of the COs fill in for the vocational instructors when they are absent. This would be the only time that a CO would be stationed in a vocational shop area.

Group Counseling:

Nine COs are completely involved in counseling and have been certified by the Departments of Correction and Mental Hygiene. They hold group sessions alone and also with Correction Counselors. Most of the inmates in the institution are involved in the group sessions and individual counseling. Mr. Patterson again indicated that all the COs do counseling in their day to day contact with the inmates. He indicated that the COs are instructed to act as big brothers to the kids. The counseling sessions are held about twice a month depending on the individual, more often if necessary, or at the request of an inmate.

Other programs are the Alcoholic Anonymous and Explorer program which are held once a week in the evening hours. Mr. Patterson indicated that the COs come in on their own time for these programs. Attached is a stopping STAFFING chart showing the

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shifts and assignments for the COs in Coxsackie. The shifts are from midnight to 8 a.m., 7 a.m. to 3 p.m., 8 a.m. to 4 p.m., noon to 8 p.m. and 4 p.m. to midnight. The 7 to 3 shift ~~and the noon to 8 shifts provide~~ extra help in the morning in getting the inmate out of his cell down to breakfast and into assembly where they break up from their division and go in their daily programs, some attending school while others go on work forces. Every division officer must maintain a running progress report of each inmate. This report is kept daily. The officer must submit a monthly written report on the inmate's general behavior, attitudes, habits, etc. The division officer on a 4 to midnight and midnight to 8 shift provide security in the cell blocks. However, the 8 to 4 p.m. officer after the inmates have left their cells is reassigned to any number of duties, since the cell blocks are closed and not reopened until the end of the work day. The 4 to 12 CO in charge of a division has the responsibility to see that each of the inmates showers every other day.

In the general office their are two COs who are responsible for the maintenance of control records, work time of all employees, all inmate records, type daily roll call, maintain vacation charts and staffing charts, statistical reports on inmate. They may also be called to help feed inmates in segregation, relief of various posts and fill in for the Chief Clerk during his absence. This is a 7 day operation so on weekends relief officers would be taking over these duties.

Chart Officers are responsible for taking notice of absenteeism, would locate replacements and make assignments. He is also responsible for general work supervision. makes his rounds of this institute to ensure that the work assignments are being done.

Package Room:

One CO is assigned at this post which is a permanent assignment. He receives all packages and searches these packages for contraband before delivering them to the inmate. If anything is taken out of the package he notifies the inmate what has been taken out and upon the inmate's advice will either hold the items to be returned when the visitor arrives or sends the items back through the mails.

Visiting Room:

The officer in charge of the visiting room is permanently assigned to this post from 9 a.m. to 11:30 a.m. and from 1 p.m. to 3:30 p.m. While assigned here,

he supervises the inmates and their visitors. In the morning before visiting he will help out in the dispensary, returns inmates from the dispensary to their program location and helps in checking inmates in assembly at noon.

Vistors Desk:

There is a permanently assigned CO at this desk. He is responsible for the supervision of two inmates who help keep the area clean. Along with this supervisory responsibility the CO receives all packages from visitors and delivers to package room for examination. He receives all visitors, establishes their identity, fingerprints the visitors, calls the assembly to locate inmate and have him escorted to the visiting room, maintains a log of all visitors, answers many questions and refers others to the service unit. He escorts visitors to the visiting room and keeps a record of the inmate visitor card. The officer in this post emphasized that the public relations of this position were very important. With the exception of the two inmates which he supervises in the cleaning of this area this position has little contact with the inmate population.

Front Gate

One CO is permanently assigned to this post. He has charge of the entrance of the building and supervises two inmates who maintain the cleaniness of this area. He meets and screens anyone who enters the building. He must determine if these people should see the Superintendent first or go on to the individuals they are looking for. He maintains a log of all visitors with the exception of inmate visitors. On weekends he may double up and also keep the log of inmate visitors. This officer has the only keys for the front door and the door to the institution and is responsible to see that both doors are not open at the same time. On weekends and holidays he must check the Chief Clerk's records on all parole violators being returned to the institution. However, he indicated that they have only about one or two a year. There is also a small room off the hall in which this officer works, and in which all parole violators, or inmates who have left the institution for sick visits or other reasons must wait until an officer comes to escort them to the cell block or classroom. This CO is responsible for the security of this room and watching the inmates until the officer arrives to escort them.

One CO is assigned the duties of a locksmith. This is a regular assignment, however, he will act as relief officer in other areas when help is short. He keeps all locks on the institution. He has conpletely overhauled all locks in six divisions, taking them down, replacing worn parts and lubricating them. Except when he is acting as relief in the barber shop or some other area this CO has very little inmate contact.

Arsenal and Key Room:

One CO is assigned to this post on each shift around the clock. There is also a switchboard operator in this room. The CO is responsible for issuing all keys and accounting for all keys. He records all keys going out and being returned. He also maintains duplicates of all keys in the institution. Along with the control of the keys for the institution, this CO is responsible for the maintenance of all firearms, gas cylinders and masks and any other equipment needed to quell a break or to seek out runaways. He keeps all firearms oiled and cleaned and will perform any repairs needed. All of the mail, with exception of inmate mail is received in this office and distributed. On Saturday he receives all mail including the inmate mail which is set aside for the censor on Monday morning. The officer on duty handles the switchboard on weekends and evenings and also controls the radio programs which are piped into each of the cells. The night man on his post keeps records of all cell block calls by COs which are made every half hour. He also maintains a card file on all cars, type, license number, etc.

Bake Shop and Kitchen:

While this is a food service area for the institution it is also used as a vocational shop where inmates are taught the food service job. There will be up to 19 inmates assigned to the Bake Shop. During summer vacations and days off for the instructor a CO may cover the operations of the food service area. Otherwise all supervision is done by the instructor. Four COs cover this area; two COs from 6 to 2 and two from 12 to 8. Since the noon meal is the main meal this provides ample coverage for the kitchen and mess hall. One of the officers will leave the area to deliver the food wagon for the hospital, the reception area and segregation

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area. [illegible]

a day. We spoke to the officers who were coming on for the 8 to 12 shift and they explained that while security was their main job they were also required to supervise, and to see that the work was done properly. Here again, they emphasized a big turnover in imate work force and explained that the food service is used as a training ground for inmates coming into the institution. The officers all duty in this area have ample opportunity to talk with the inmates and try to develop work habits and change of attitudes. The COs must prepare evaluation reports on each inmate on a monthly basis and also prepares the payroll for inmate work. They explain the rules and regulations of the kitchen and dining room and make certification that inmate has achieved his 500 hours training in kitchen service. These COs may be called in emergencies to other assignments, may substitute for division officer's assignments if the regular division officer is tied up somewhere else. One of the COs that we had talked to had taken the course in group counseling and had worked in group counseling sessions for two years but he said that this job needed a lot of time and he couldn't devote the amount of time necessary. The other CO was currentl going to Columbia Green for an associate degree in social sciences to help with his job

Assembly Desk:

Three officers are permanently assigned to this post on the 8 to 4 shift. This post controls all inmate location and movement throughout the institution. Two of the COs remain at the desk while one acts as a runner. During assembly, all inmates report with their divisions, at which time a count is made. Each CO and teacher or instructor takes charge of his group and hands into the desk a count report. Each time an inmate is moved from one location to another his whereabouts must be reported to this desk. Transfers of inmates from one division to another are recorded in a log book. This is a very busy post since there is constant movement throughout the institution. It requires two COs to handle this post while the third CO as a runner escorts inmates to various locations such as the visitors room, parole board, sick bay and back to their cells to change clothing for interviews or visits. During real busy periods the second man on the desk may also do some running. [illegible] there is a great deal of inmate contact, [illegible] the officers posted here [illegible]

see every inmate in the institution at one time or another. However The post is so busy that I doubt if there is much time devoted to individual counseling.

Yard:

Yard duty is a rotation assignment. There are always two COs on duty; one in charge of dead school and one in charge of dead shop. These are groups whose class had been suspended for either a period or half a day. The officers on duty here are responsible for security and may have some contact with the inmate.

Service Unit Interviews:

One CO on rotation on the 8 to 4 shift sees that each inmate scheduled for interview reach that office from the assembly area. This same officer is responsible for taking inmates who are scheduled to go home on rounds. That is, each inmate so scheduled must visit various counselors, parole, dispensary, etc. before leaving the institution.

School Building:

There is one CO permanently assigned to this post on the 8 to 4 shift only. He supervises a three man work crew of inmates and is responsible to see that all bathrooms are cleaned, chapels are inspected and is responsible for the janitorial services in the school building which contains 15 classrooms, 12 rooms upstairs, 3 on the main floor plus 15 offices and 4 laboratories. During class changes the service unit officer takes charge of security in the lower hall while the CO permanently assigned to the school building maintains security on the upper floor. The officer in charge of the school building described his day as follows: In the morning he will escort to and from the dispensary all early workers. He then picks up his crew and returns to the school until 11:30. At 11:45 he picks up count slips in the main yard and goes to the dining room and supervises the distribution of bread in the south dining room. At 12:15 he picks up inmates who have received packages and escorts them to the north side while they put the packages in their cells. At 1:45 he picks up his work crew in the yard and returns to the school building and continues with his janitorial services. At 3:30 he supervises the exodus of all inmates from the school building and checks the building to ensure that all doors are locked and that no fire hazards remain.

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Rear Gate:

This gate is used as a delivery entrance. There is one CO who has control of two gates and will see that one of the gates is locked at all times. This position has very little inmate contact.

Shop Area:

This area has shops in arts and craft, welding, plumbing, machinery, automotive machine, sheet metal, electrical, upholstering, tailoring, etc. There are no officers regularly assigned to this area except in the absence of an instructor at which time a CO is assigned to substitute for the instructor.

Store House:

The store house has a civilian butcher and the only time a CO will be assigned to this post is during the absence of the butcher.

Laundry:

The laundry is also a vocational shop under the supervision of an instructor who has up to 15 inmates. A CO may take over this supervision in the absense of the instructor and during summer vacation periods.

Clothing Room:

This is a permanent assignment on the 8 to 4 shift and it is a six day operation. One CO is assigned here, supervising about 13 working inmates. Here all the laundry is sorted, repairs are made and where necessary exchange made for new articles of clothing. The CO in this post keeps record of the amount of clothes to be used by each inmate. He is also responsible for all clothing for the hospital, kitchen, butcher, dentist, etc. There are two sewing machines, two darners and a button machine located in this area and these are operated by the inmates.

Barber Shop:

This is a permanent assignment where a CO is on duty from 8 a.m. to 12 noon and from 1 to 3:30 p.m. The barber shop is under the supervision of a civilian instructor. The CO during the hours when the barber shop is operating supervises the inmates in the shop and escorts them to the shop and return to their regular assignment. When the shop is not in operation the CO is assigned either to the gym or to the yard.

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There is one CO posted outside the administration building who maintains a security watch in front of the building and in the parking lot. Another CO is in charge of the ground maintenance crew, police the grounds, do general clean up, mowing of lawns, etc.

Dressing Room:

There is one CO permanently assigned to this post on the 8 to 4 shift. He is responsible for dressing inmates coming in from the reception center and those going out on parole. He orders clothing, yard goods and receives all items made in the tailor shop. Included in his stockroom are the prison uniforms, boots, sneakers, underclothing, bedding, head phones and thread. He is responsible for cleaning and storage of winter clothing and keeps a running inventory of the stock. He makes an inventory report every two months. He supervises two inmates in this operation. When a draft comes in he examines the new comers for any contraband. At 11:30 a.m. he escorts his inmates to the assembly area and helps with the master count. This CO as well as the one located in the school building both complained that they had no break for lunch, that they were assigned duties right through the day.

Reception and Hospital Floor:

There is one CO assigned to this area and this post must be manned around the clock. There are three wings to this area arranged in a T shape; two wings for reception and one wing for the hospital. When new inmates arrive from the reception center they must be processed into this institution. They remain in the reception center for one week. The CO must establish some rapport with the new inmates. He is required to make an evaluation on how they will adjust. Department heads, program heads and the superintendent visit new [illegible] in this area during their first week at Coxsackie. The CO is required to provide some orientation advising all new inmates what to expect and what the institution expects of them. He indicated that they average about 22 to 23 new inmates every week. He is responsible for the security of the whole floor. He also indicated that mentally disturbed patients will be placed also in this area.

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Wallkill Prison

On Wednesday, May 13, Larry Rockwood and myself visited Wallkill Prison. We talked with Warden McKendrick prior to making a tour of the prison facilities. He briefly described the facilities and the activities of its inmates. In summary he mentioned that it was an academic and vocational training institution for selected inmates from various other Correction Institutions and the Reception Center. He pointed with pride to a couple of experimental projects begun at Wallkill a few years ago and which have been expanded to many other institutions. These were the Guidance Unit or Service Unit concept in which various parole, social services, and mental hygiene services are provided to inmates. Also there was the group counseling and group discussion techniques which directly affect the Correction Officer's job. Rather than attempt to recall from notes all that was discussed it would appear that a very excellent presentation of what transpired is contained in the attached four page document describing Wallkill Prison and its activities.

In talking about the inmate population Warden McKendrick indicated that for the most part Wallkill has a close section of the inmate populations throughout the correctional system. However there are certain types of inmates which are not acceptable for this type of prison. For example, he did not want the "big shot" criminal who would arrive with a fanfare of publicity. Certain inmates who have been convicted of certain sex crimes would be unacceptable due to public reaction. In a like manner no homosexuals could be handled at the prison because of the relative open facilities throughout the entire day and night. The Warden pointed with pride to the return rate of inmates leaving this prison, apparently it is about 2%.

With regard to the Correction Officer's duties the Warden stated that this type of prison requires them to be very active in keeping the inmates

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* The intent is to involve a group of inmates that can benefit from the program offered at Wallkill, not those just serving time.

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interested and busy and in attempting to deal with some of their problems. All inmates have jobs throughout the prison either inside of the building or on the farm. In addition most attend some academic or vocational training classes. The inmate cells are never locked and during their free time they have free movement throughout the prison. It is not until 10:00 at night that the inmate must be in his cell and at this time the gates at each end of the gallery are locked. Further in the summer the inmates may leave the prison building and enclosed recreation field and may go to the field in back of the prison for recreation. Among other things the recreation area includes a baseball field and a rather large in-ground swimming pool. At the conclusion of our meeting with the Warden we were escorted throughout the prison by Correction Sergeant Raymond Carroll and Correction Officer Fred Earl.

Attachment

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STATE OF NEW YORK DEPARTMENT OF CORRECTION

PAUL D. MC GINNIS
Commissioner

WALLKILL PRISON

Charles L McKendrick	William B. Nevel	Walter J. Mason
Warden	Deputy Warden	Asst. Deputy Warden

Wallkill Prison is the only medium security type prison in the State of New York. It was established in 1932 for training and rehabilitation of convicted adult felons.

Wallkill does not receive any men committed directly from the courts. In 1940 a method of selection of prisoners from maximum security institutions was established. The selection procedure consists of periodic visits to the maximum security prisons by the Wallkill Prison Guidance Supervisor and the Vocational Supervisor. These men make an extensive study of the records of all inmates committed to the maximum security prison since their last visit to that institution. Those who meet the Wallkill criteria and are likely to benefit from its program are then interviewed and those passed by the selection committee are referred to the Warden of Wallkill, who screens the list and makes his recommendations to the Commissioner of Correction for transfer. The criteria for selection provides that first offenders receive preference but the type of offense does not necessarily rule out a man for transfer. The idea is to select a man who will adjust to the Wallkill type of administration and be likely to benefit from its program. An exception to the foregoing selection procedure is the transfer of inmates from the Elmira Reception Center which was established in 1945. These young men range in age from sixteen to twenty-one inclusive. Those who appear to need the kind of training provided at Wallkill are selected by the Center Staff and sent to Wallkill Prison. Approximately ten percent of the Wallkill population has been transferred from the Reception Center.

Custody and discipline, though less evident at Wallkill than at other prisons, are nevertheless important administrative considerations. The lack of physical and mechanical barriers are compensated for by more accurate classification, individualized treatment, good management of an alert and well trained staff, and development in the inmate of a sense of personal responsibility.

In order to achieve the aims for which Wallkill Prison was organized, an extensive program has been developed. This program is not superimposed on the men but is decided upon only after careful consideration of each individual case by the members of the Program Committee and, finally, adopted with the active participation and acceptance by the inmate concerned. A psychologist and psychiatrist are available to inmates for counseling, guidance and testing.

A program of Group Counseling, led by trained staff members is available for inmates with certain types of problems. These sessions which are not dominated by the employee in charge, give the men an opportunity among themselves to work out their personal problems, and even to

'let off steam' The leader is simply present to help keep the men on the subjects which they set out to discuss and to help them arrive at conclusions. The Group Counseling program in New York was started at Wallkill Prison It has succeeded to the point where it has since been inaugurated in numerous other New York State Correctional Institutions.

The Service Unit a cooperative agency staffed by members of the Department of Correction Mental Hygiene and the Division of Parole, functions as the coordinator of the various services available to the inmate as a casework agency It is concerned with the follow-up and the progress of the man during his stay at Wallkill, with a view to continuous planning in terms of the man's capabilities for post-institutional adjustment Through personal interviews liberal correspondence privileges and daily visiting privileges, the Service Unit attempts to strengthen the inmates' interest and relationship with the family and responsible community members

Educational Achievement Tests are given to men upon reception show that their school rating varies from complete illiterace all the way through high school. No one is compelled to take any form of training, unless he is not able to read and write simple English. To meet the demands created by the individual differences of the inmates, three specific types of education have been made available: (1) Grammar school subject, leading to a grammar school diploma; (2) High school subjects, leading to an academic or college entrance diploma; and (3) Special courses to satisfy individual needs in areas of particular interest or weaknesses of the men. This education is supplemented by Home Study Courses from recognized Correspondence Schools and approved Colleges and Universities . There are also scholarships in graphic arts made available to talented inmates by the Famous Artists Schools.

The ability to earn a living for one,s self and family is necessary for success in the community. Therefore, teaching men how to work and how to practice a marketable vocation is an important part of the Wallkill program.

The material taught in each trade is selected after an analysis of industrial requirements. The aim is to develop skills which will enable a student to qualify in a paying occupation. While developing manipulative skills, every man enrolled in organized trade training must pursue studeies in related theory and trade information.

On the job experience is afforded to advanced students in the vocations when they become qualified. Their training is thus continued under expert supervision on live work. In the building trades, for example, it includes the manufacture of cement blocks Many thousands of dollars are saved for the State each year by students in the vocational automotive shop These men repair cars that have become worn or are completely wrecked This training includes body and fender work and upholstering and painting. When a car comes out of this shop it is in perfect operating condition and often looks like a new car. All work must conform to the high standards demanded by the State

In many of our shops work is done for numerous other State Departments particularly the Conservation Department. This institution has furnished ski lifts, park and other furniture and work on mechanical equipment. We do a great deal of silk screen work for this Department.

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Signs of all types are produced by the silk screen process and may be seen throughout the State.

Organized Trade Training is conducted in the following areas:

Building Trades:	Carpentry, Electricity, Plumbing and Heating, and Masonry.
Industrial Trades:	Auto Mechanics, Blacksmithing, Machine Shop, Welding, Mechanical Opthalmic Optics, and Sheet Metal and Heating.
Service Trades:	Baking; Barbering, Food Service, Laundering, Tailoring, Radio and Television Repair, and Steam Engineering and general maintenance work.

Wallkill Prison maintaines a large farm of approximately 850 acres. A large variety of feed crops also vegetables, milk, pork, chickens, eggs and apples are produced and supplied to other institutions, as well as Wallkill. (Milk is produced for Wallkill and Sing Sing Prisons.) The farm work is carried on in such a manner as to teach those from agricultural areas better farming methods Garden products of a large variety are prepared in a modern canning plant maintained by the Prison.

International Correspondence School courses in many vocational areas are provided for those who desire them

Dale Carnegie Courses are also available to those who believe themselves in need of increased ability in public speaking.

Under the direction of the Music Teacher, a large number of men, many of whom have never played instruments, become competent musicians and eventually members of the institutional music organizations.

Great emphasis is placed upon the importance of religion in the rehabilitative program. This work is under the leadership of resident Chaplains, one of the Catholic and one of the Protestant faiths. There is also a part time Chaplain of the Jewish faith. Christian Science Services are also provided. The Chaplains provide regular worship services on Sundays and Holy Days, conduct classes of instruction throughout the year and are available for counseling and guidance with the inmate during the week. They also perform a valuable function in ministering to the needs and problems of inmate's families.

The nature of congregate living makes strenuous demands on good health, sanitary and hygienic conditions among the inmate population. Supervising this important area, prescribing high standards of preventive medicine and administering to the ill, is a medical staff composed of a resident physician five registered nurses, a visiting surgeon, an optometrist, an ophthalmogist and part time dentist. Emphasis is placed on the prophylactic type of treatment as well as the therapeutic. The food served is wholesome but does not exceed the cost allotment of the other prisons.

An excellent recreational program under a trained supervisor is maintained. This man encourages participation in sports and tournaments in the institution. One of the chief objectives is to teach men to play fairly and familiarize them with the rules of good sportsmanship. This

is a particular need among city raised individuals who have had little opportunity for development of cooperative sportsmanship.

Wallkill Prison is believed to have been the third prison in the United States to provide a Chapter in Alcoholics Anonymous. The first Chapter was organized in 1945. Records indicate a high percentage of successes result.

In 1968 a self-help, inmate directed organization involving the Daytop concepts was initiated here at this institution. This represents one of the first endeavors of its kind in the penal system throughout the country. The program is geared for offenders with all types of problems. It closely follows the tenats set forth by the Daytop Program as it exists in the community.

If a man has a particular education need which cannot be met in the organized program, there is always an effort made to provide books and materials necessary for cell study.

Disciplinary problems are at a minimum -- fewer indeed than in most high schools -- and they are seldom of very serious nature. When a man comes to Wallkill he is indoctrinated during reception for the purpose of letting him know what opportunities are available and that he will have to conform to the rules and regulations of the institution and make good use of his time in learning something that is useful. If a man cannot cooperate, or refuses to do so after counseling, he is invariably sent back to a maximum security institution. Disciplinary control is largely psychological and punishment limited to deprivation of privileges and loss of good time.

As in other prisons, inmates remain in Wallkill serving their sentences under the provisions of their particular sentence by the Court until such time as they are granted parole. After the granting of parole by the Board of Parole, inmates are supervised in the community by the Division of Parole until the expiration of sentence.

Description of the Employee Duties

Prison Hospital:

The major function of this Prison Hospital is sick call which comes at three different periods during the day. Normally there is no Correction Officer on duty in the hospital area. However, during sick call a Correction Officer is present to insure that the prisoner takes his medicine and does not leave the hospital with it in his possession. When necessary and the absence /in of the trained medical staff a Correction Officer ~~would probably relieve such staff~~ assist the personnel. In addition to this a Correction Officer ~~probably would~~ be present when new inmates are given physical examinations or when civilian personnel are present during blood bank day. The hospital contains 14 beds and at the time we were there were [illegible] occupied.

Parking Lot:

One of the posts manned by a Correction Officer is in a parking lot. This officer, whom we did not interview although we were subjected to some of his procedures when we arrived, is responsible for proper parking of automobiles, ~~visitors' automobiles~~, obtaining identification of everyone who arrives on the grounds. In my case / he asked me for my driver's licen[illegible]. In addition I understand from our escorts that this Correction Officer is responsible for supervising two or three inmates who perform maintenance and cleaning duties on the grounds in and around the parking lot.

Visiting Room-Administration Building-Front Door:

These three posts are in the Administration Building entrance, within a very short distance of each other. Each is manned by a Correction Officer. However, it appears to be one of those areas in which they can get along with less than three men, consequently they seem to use one of these men for other assignments in the event ~~of them being~~ shorthanded. This was the case the day we were at Wallkill.

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In a visitor room we talked with Correction Officer Robert Richter. He stated that whenever there is a visitor in the visiting room with an inmate a Correction Officer must be present. He insures that nothing is passed from the visitor to the inmate. He examines women visitors' handbags and various things shown to inmates. He further stated that there are certain inmates who are rather troublesome and it is his responsibility to insure that such inmates receive their visitors in the front of this room so that he can keep a closer watch on them. Visiting hours are from 9:00 in the morning to 5:00 p.m. each day and an inmate may have up to five visitors a month. A log book of incidents occurring ~~at this~~ visiting room time is kept at the Correction Officer's desk and as far as I could see contained very little of consequence.

At the front door we talked with Correction Officer Robert Dermody. During this particular tour of duty Mr. Dermody, who is a relief man, was in charge of the front door. He is responsible for unlocking the front door, checking visitors in, and referring them to an appropriate person with whom they have business. As a relief man, however, he has had experience in interviewing new inmates, fingerprinting visitors in the absence of the identification officer, and operating the switchboard. He has ~~had~~ supervision over two inmates, cleaning the front of the building, and various other housekeeping duties, ~~like that~~.

Key Room and Package Room:

These two posts are manned by one Correction Officer. However, during peak periods other Correction Officers must help out in the package room activities. We talked with Correction Officer Bouchard. With regard to the keys he stated that he is responsible for distributing upon request keys to the Correction Officers who use them periodically in the institution. He keeps all records as to who has the various keys. Also he operates the public-address system in order to locate inmates and/or Correction Officers. With regard to the

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* The Visiting Room Officer is also responsible for the arsenal during his tour of duty. The arsenal, for obvious reasons, is extremely well secured being located behind 3 locked doors. Side arms are issued to those authorized to draw them, for example to Officers going on furlough visits, to the patrol team and the night patrol and in the event of any emergency as directed by the County Warden.

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package room activities he inspects all incoming packages and personal property of inmates, and keeps records on everything received by such inmates. Frequently this ~~is the~~ operation ~~which~~ is very active and he needs some assistance from other Correction Officers. Those items which are sent to inmates or given to inmates ~~which they cannot have he is responsible to see that they are returned~~ he is not permitted to have — given to them, in accordance with the inmate's wishes. In addition the package room activities include mailing all packages leaving the prison. When an inmate leaves the prison Mr. Bouchard checks out all the property of the parolee. It is also noted that various department forms are kept in the package room and it is his responsibility to distribute them and keep an adequate supply of each form.

Group Counseling:

One Correction Officer by the name of Francis Repky has been designated as the group counseling coordinator. Our interview with Mr. Repky included a description of his program and the observation of a group counseling session which he conducted.

In 1958 there was a pilot program which ~~was~~ marked the beginnings of the group counseling program. Correction Officers were trained at that time and worked along with psychologists and psychiatrists in these group sessions. Presently there are 27 counseling groups active in the prison involving 244 inmates and 17 Correction Officers. Approximately 49 of the present Correction Officer staff has been trained in group counseling. The training includes 30 hours of classroom work with a psychologist after which the Correction Officer becomes a counselor with a more experienced person. As soon as he ~~becomes more competent~~ is able to function independently he is assigned a group and ~~he is permitted to meet with a group by himself~~ meets on a regular basis once a week for one hour. Periodic follow-up training is given on ~~about~~ a monthly basis at which time a psychologist or other professional person makes a presentation followed by a discussion ~~of~~ concerning problems, methods of improving his group counseling techniques, and allied subjects.

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Mr. Repky's duties include a great deal of record keeping, setting up counseling groups, insuring an adequate number of training counselors, setting up a training session, assisting in training, and participating as a counselor in group sessions.

At this point we attended a counseling session conducted by Mr. Repky. There were eight inmates at this session and to some degree, I guess, Mr. Repky had an agenda which was designed to impress the two of us. It was noted, however, that the inmates ~~shown~~ got away from this agenda and were talking about some problems that they had. They seemed very well motivated which certainly is a tribute to the program. All were well spoken and apparently had a sufficient amount of experience together to be able to talk freely and openly.

The State Shop:

At this post we talked to Mr. Drutman who is a general relief officer. He explained that in the State Shop he performs duties essentially the same as performed in the quartermaster corps in the Army. He issues clothes to the new inmates, reissues clothing as required by other inmates, supervises the repairs on clothing, ~~the~~ measuring of inmates for clothing, maintains an inventory of clothing. In the absence of a tailor he helps out in the instruction of ~~the~~ inmates in the operation of the various pieces of sewing equipment. He has also worked in the kitchen which would be described at a later time in this report. During the summer months he supervises the operation of the cannery. This involves the preparation of fruits and vegetables grown on the farm for canning and the actual canning process. In this regard he supervises, along with one or two other Correction Officers, about 40 inmates.

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Laundry Issue Shop:

In this area, we talked with Correction Officer, Ted Strakulski, who is in charge of supervising two inmates in checking clothes in and out of the shop. Principally, the shop is in existence to service the inmates and their laundry. Each day a group of inmates bring their laundry to this shop where it is checked in and then delivered to the laundry. Within five days the laundry is ready for the inmate. According to Correction Officer Strakulski, there is a great deal of opportunity for pilferring, therefore, he must always be alert to any activities within the confines of this area. Two inmates assist him in this shop. The shop is opened five days a week and this is his permanent post.

Kitchen - Dining Room:

In this area, I talked with Correction Officer Dom DiStasi. This Correction Officer supervises somewhere between 40 and 50 inmates in all cleaning and housekeeping duties in the mess hall and kitchen. He must see to it that the mess hall is set up prior to each feeding and cleaned completely after each feeding. Similarly, he is responsible for the cleanliness of all the eating and cooking utensils and the entire kitchen area. In addition, he supervises the inmates when food is being portioned out in order that everybody gets their proper share. When it is time for seconds, he must be sure that this operation is conducted equitably.

Gallery Officer:

At Wallkill, there are for all intents and purposes two cell blocks (AB and CD). Each block has three Galleries with one officer assigned during the day to each Gallery. For simplicity sake, we will talk about these officers as First Floor Officer, Second Floor Officer and Third Floor Officer.

Each of the officers is responsible for operating the grills (gates) and shops in the morning. They take a count and then turn in the Gallery key. Each checks the cells to insure that everyone is up and preparing himself for the day. He is responsible for insuring that the porters (inmates) are performing their assigned tasks and that the cells are clean and orderly.

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The Second Floor Officer when he has completed these beginning of the day activities, escorts a work gang to the work assignment and is responsible for their security. The First Floor Officer is responsible for staying in the cell block area and is generally responsible for all of the cleanliness and housekeeping functions of the entire block. The Third Floor Officer is frequently used in helping out on posts when the prison is shorthanded or on special assignments. When he remains in a block, he assists the First Floor Officer.

In addition to the duties noted above as of the Gallery Officers, they must prepare progress reports on those inmates who are assigned to them on work details. They help orient new inmates to the prison with regard to proper conduct and the rules and regulations governing the inmates. They are responsible for noting in a report just about anything they can find out concerning an inmate: his nickname and aliases, eating patterns and various other associations or groups that he sees being formed.

I interviewed two Gallery Officers, Mr. George Foster, who is permanently assigned as a First Floor Officer and Mr. Edwards, who is a Third Floor Officer on the day we arrived by who normally is relief man.

Rear Gate:

At this post, we interviewed a Correction Officer, Besimar, who is responsible for all traffic in and out of the rear gate of the prison building and all trucks passing his post. In this atmosphere of relative freedom of movement on the part of the inmates, Mr. Besimar must obtain from each inmate going through his post his destination in order that he may record it on a sheet kept daily which is checked against the periodic count of inmates. In addition, he must know which institution trucks and other vehicles are being used inasmuch as inmates are used as drivers where they are going. While I was with Mr. Besimar, I did note a substantially amount of activity in and around his post. Theoretically, at least he knew why each and every person was there.

The Fire Chief:

I was introduced to a Correction Officer by the name of Ken Karr, who

buildings and vehicles. The institution has two equipped fire trucks. In the winter time, Mr. Karr also is in charge of plowing the roads of snow. He also throughout the year is assigned various tasks such as accompanying inmates upon transfers, driving the milk truck or the dump truck or various other similar type things.

His fire duties also include the training of inmates and employees in the use of fire fighting equipment. I mentioned that at the present time there are about 40 inmates so trained.

Warden's Residence:

At the Warden's house, I talked with Correction Officer, Birdsall. He told me that he is responsible for the security of the Warden's residence, the general housekeeping of the interior of the house and the maintenance of the grounds. There are four inmates assigned to this work detail. On the day we were there, two were working inside the house on housekeeping chores and two of the men were maintaining the grounds, cutting grass, maintaining flower beds and whatever else one does to the grounds.

Outside Rear Gate Post:

At this post, I talked with Correction Officer, Basel. The post is located in an area where the Correction Officer has an unobstructed view of the rear gate and area immediately surrounding that rear gate, the recreation area, one of the major farm areas, the gallery and the outside of the auto repair shop. Mr. Basel's duties briefly involve watching the inmates in all of their activities, observing their movement and generally knowing where all inmates are assigned. Anyone passing this post must be identified and his destination must be ascertained. Delivery trucks coming into the institution report to him and he directs them after identifying the driver and the purpose of the vehicle being on the premise.

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WALLKILL PRISON

Farm Gang Supervisor:

Correction Officer, Charles Morrissey

He is responsible for all outside farm work involving inmate help. The number of inmates assigned to the farm will vary with the time of year and the crops being harvested from approximately 6 to over 50. He is responsible for the planning and supervising of the activities of the farm with the assistance of one other Correction Officer, six Farmers, and two Head Farmers. He assists with the training of new inmates assigned to the farm and coordinates activities between the farm and the cannery as to what crops are ready to harvest, the approximate quantity to be harvested, and the trucking of the produce to the cannery. He sees that all machinery used on the farm is working properly and that all necessary repairs and replacements are made. The direct supervision of the inmates working in the field is under a Farmer.

The farm covers approximately 850 acres and produces a wide variety of vegetables, meat, and poultry for other institutions, as well as Wallkill. All inmates at one time or another are required to work on the farm.

Post #26, Service Entrance:

Correction Officer, William Einkel

One Correction Officer covers this post on the 8 to 4 p.m. shift. He checks and logs in all incoming trucks, calling the area where the delivery is to be made to confirm the order and the fact that the trucker has legitimate business in the prison. All trucks leaving the prison grounds are inspected to insure that no unauthorized men or materials are on board. After passing inspection, the truck is logged out and passed through the "gates" by the Correction Officer. As there are no other walls or fences boardering Wallkill Prison, this post is nothing more than a shelter that affords protection for the Correction

Officer on duty during the day. After 4 p.m., a barricade is swung across the road, but no other gate or encumbrance is apparent.

Roving Scout:

Correction Officer, David Scott

To maintain security over the ten miles of roadways on the prison grounds, as well as over the 850 acres on the farm, two four-wheel drive scout vehicles are employed for patrol, each manned by one Correction Officer. The one vehicle I observed had no radio, but one was to be installed in the near future. Currently, two scouts are working days, one in the evening and one on the night shift.

On patrol, constant surveillance is maintained keeping track of all inmate activity on the farm, as well as on the prison grounds. He has to be aware of the location of different work groups that have been checked out during the day, as well as the number of inmates in each group. This is a particularly difficult assignment and has been identified as one of the most responsible security posts in the institution considering the free movement of inmates allowed over the grounds of the prison. Inmates are driving tractors, dump trucks, and jeeps pulling gang mowers, and depending on their assignment, they may cross the county road on various occasions during the working day. In addition, he will bring in disciplinary cases, as well as anyone taken sick or injured.

A-B Hall Keeper:

Correction Officer, A. Siciliano

He is in charge of the A-B halls. He is responsible for 13 inmates who sweep and mop the halls two times a day; checks bars, doors, locks, and cells (the individual cells are never locked). He checks to see that the work is done properly and maintains order in the area.

LR:sac
5/22/70

Mr. Siciliano is involved in the Group Counseling Program and meets with a group on a regular basis once a week for approximately one hour.

Deputy Warden's Office—Chart Room:

Correction Officer, William Stamatedes

The Chart Room Officer is the timekeeper for all employees, both civilian and officer, which at last count was 208 in the institution. He is generally responsible for the maintenance and production of all time and related personnel records for the institution as directed by the Deputy Warden; a sampling of the reports produced, including the typing of all work assignments; a keeping of files on inmates' records, as well as the assignment of cells to the inmates. The responsibility of the Chart Officer in Wallkill is essentially the same as those we observed in the Chart Room at Matteawan.

LR:sac
5/22/70

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MEMORANDUM

July 7, 1970

TO: Mr. Cornelius M. Hanrahan

FROM: Mr. Robert J. Tassi

SUBJECT: Notes on Reallocation Hearing for CSEA

DATE AND LOCATION: July 1, 1970 at Chancellor's Hall

PRESENT: Classification and Compensation - Cornelius M. Hanrahan, Bertrand J. Galvin, Robert J. Tassi

20 members of CSEA

* * *

List of Speakers:

Mr. William Blom	- Director of Research	- CSEA
Mr. Irwin Cameron	- Correction Officer	- West Coxsackie
Mr. William Ritchie	- Correction Sergeant	- Woodhourne
Mr. Morris Martin	- Correction Officer	- Dannemora
Mr. Dennis Renehan	- " "	- Auburn
Mr. George Druttman	- " "	- Walkill
Mrs. Margaret Anastasia	- " "	- Albion
Mr. Frank Leonard	- " "	- Sing Sing
Mr. Robert Woodhouse	- " "	- Catskill
Mr. Nicholas Ferrone	- " "	- Matteawan
Mr. Robert Papineau	- " "	- Clinton
Mr. Cornelius Rush	- " "	- Greenhaven
Dr. Egon Plager	- CSEA Consultant on Penology	

Mr. Hanrahan welcomed the group and gave the reason and authority for holding the hearing. He read into the record the requested reallocations made by CSEA.

Mr. Blom was the first speaker and said that CSEA viewed the hearing arrangement unusual and wanted all concerned parties to be present at the same time. The 1965 CSEA application for Correction Officer emphasized the rehabilitation aspects of the positions and while Classification and Compensation didn't recognize the value of the work the Civil Service Commission did and granted a one grade reallocation. CSEA still feels the rehabilitation and counseling features were not given enough consideration and proper recognition would have warranted more than one grade. He made comparisons of New York City Correction Officer's duties and salaries to those of New York State Correction Officers. New York City jobs are paid $2500 more and are less difficult than New York State Correction Officers' jobs. He also claimed that Parole Officer and Correction Officer jobs are related, in fact, the Parole Officer's job may be easier because the Correction Officer does such a good job with the inmate. And because we've gone up on the Parole Officer we should raise Correction Officer. CSEA can no longer accept the argument that entrance level jobs at Grade 14 have a college degree as a minimum qualification, especially since the creation of the class of Youth Program Supervisor, Grade 16. This class does not require a college degree and has very vague experience qualifications.

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The other speakers all referred to changes which have taken place in the duties and responsibilities of Correction Officer positions in recent years. The jobs have changed from custody of the inmates to the rehabilitation of them. The inmate population has changed from poor, underprivileged, scheming individual to middle or upper class, well educated individual. Inmates are not kept in cells for long periods of time as before but are outside them quite a bit - and penologists say that the continuous contact of the inmate with the Correction Officer is very important to the inmate's rehabilitation. Correction Officers are doing a lot of group counseling work which they feel is on the same level as that done by Correction Counselors, paid at Grade 19. The observations noted and reported by Correction Officers on inmates are incorporated in the reports written by Counselors, psychologist and other professional staff engaged in the treatment of inmates. Correction Officers are refined people in that when an inmate makes a problem known to the Officer the Officer, if he can't help the inmates, directs him to a professional who can help. Since the teachers and vocational instructors have been working on a school calendar the Correction Officers have to substitute for them and keep the programs in operation. One Officer claimed he has substituted in a Grade 22 position, in a Tailor position, in a Food Service Manager position and even supervised the cannery operation which meant supervising 79 people. The handling of inmates from Rikers Island was mentioned quite a few times and the question raised to why should they be required to do the job of New York City Correction Officers but not get the $2500 difference in pay.

The speakers often stated that their lack of a college degree keeps their salary low. No consideration is given to experience gained on the job. Many Officers are taking training in Group Counseling and others are taking other college courses to equip themselves to do a better job. They are attempting to professionalize their jobs. Many Officers find it difficult to take courses in criminology, police science, etc. because schools are dropping them from their curricula because they do not have enough undergraduate student interest. When the students realize what a low paying field this is they drop out of the programs.

Dr. Egon Plager said that the treatment of convicted offenders has been neglected for a long time but lately the emphasis has switched from retribution to rehabilitation. The Correction Officer holds the key to the rehabilitation of inmate through his "father" image, by his daily example, and by giving guidance and direction. The prison will always be custodial but the methodology is constantly changing. The quality of the Correction Officer and not necessarily his formal training will determine the success of failure of the Correction System. He stressed the need for reallocation to Grade 14 to insure the retention and recruitment of good employees. Just because people aren't leaving their jobs doesn't mean that they're contented. He predicts there will be a morale problem when Parole comes under the Correction Commission. The conditions of the labor market, especially the ability to recruit enough people shouldn't make a difference in determining the allocation of the Correction Officer class but the changing responsibilities and duties of the Correction Officer should effect a reallocation.

Senior Classification and Pay Analyst

RJT:lf

DRAFT

INTRODUCTION

As a result of an application from Council 82 of (AFSCME) requesting a three-grade reallocation for Correction Officers, Narcotic Correction Officers, Correction Hospital Officers and Correction Youth Camp Officers, extensive field work was done by this staff. We surveyed jobs at nine Correctional Institutions and five NACC Centers. A schedule of the audits conducted, by title, follows:

Correction Officer:

Date	Location	Audit Team	Initial Contact
5/13/70	Green Haven Prison	Michael Roche & Ernest DesChamps	Acting Warden Otis
5/13/70	Green Haven Rehabilitation Center	Michael Roche & Ernest DesChamps	Acting Warden Otis
5/13/70	Wallkill Prison	Larry Rockwood & Alois Soeller	Warden Kendrick
5/18/70	Elmira Reception Center	Larry Rockwood & Alois Soeller	Director C. Owens
5/19/70	Elmira Reformatory	Larry Rockwood & Alois Soeller	Director D. Damon
5/18 & 19/70	Auburn Prison	Michael Roche & Ernest DesChamps	Warden Deegan
5/20/70	NYS Vocational Institution	Michael Roche & Ernest DesChamps	Superintendent Murphy

Correction Youth Camp Officer:

5/19/70	Monterey Youth Camp	Larry Rockwood & Alois Soeller	CYC Supervisor Cassidy

Correction Hospital Officer:

5/12/70	Matteawan State Hospital	Larry Rockwood & Alois Soeller	Acting Director Dr. Lanzkron
5/12/70	Beacon State Institute	Michael Roche Ernest DesChamps	Director Dr. Zaglof

Narcoti[illegible]orrection Officer:

Date	Location	Audit Team	Initial Contact
5/12/70	Mid-Hudson Rehabilitation Center	Michael Roche & Ernest DesChamps	Director William Quick
6/4/70	Manhattan Rehabilitation Center	Michael Roche	Director S. Chinlund
6/4/70	Bayview Rehabilitation Center	Larry Rockwood	N.C. Ch.[illegible] Officer Weber
6/5/70	Edgecombe Rehabilitation Center	Larry Rockwood & Ernest DesChamps	Assistant Director Wills
6/5/70	Melrose Community Based Center	Michael Roche	Director A. Taylor

Prior to these field visits, Jack Burrell and Alois Soeller me[illegible] with Mr. Harold Butler, the Assistant Commissioner of the Correction Department, to discuss and decide on the most representative institutions to visit and to set up the best possible arrangements to obtain the maximum value from these visits. A similar meeting was held with John Randall, Personnel Director of NACC. Our visits included all those institutions suggested by them.

At each institution, members of our staff first met with the head of the institution or his designated representative to discuss its general organization, objectives, and activities. Particular emphasis at these meetings was placed on the effects of the institution's objectives and organization on the occupations considered. After the initial interview, one or two officers were assigned to direct the audit team through the institution. In addition to functioning as guides, these officers provided additional background information, answered questions, identified posts and introduced the officers assigned to the post to be audited. If feasible, the two staff members auditing an institution will

split, each covering a different section of the institution. If not, they would work together as a team.

The criteria followed in selecting the posts to be audited ~~were~~ was to pick each post assignment ~~which was~~ representative of a group of posts, that is having common duties and responsibilities in the institution, thus avoiding much time-consuming duplication. This method also insured a complete coverage of all the different assignments in an institution in the shortest period of time, enabling the audit team to complete the survey within the time period prescribed. All officers were audited at their assigned posts enabling the audit team to gain a more realistic and objective view of the work environment in relation to the duties being performed.

LR:mr
6/23/70

MEMORANDUM

May 11, 1970

TO: Files

FROM: Mr. Alois Soeller

SUBJECT: Correction Officer field survey. In connection with the application recently received from Council 82 for the reallocation of Correction Officers and related classes.

* * *

It was determined that a field survey of Correction Officers would be a necessary element in the evaluation of such jobs. Accordingly, Jack Burrell and I met with Commissioner Harold Butler and Mr. Robert Roulier of the Department of Correction to accomplish two things. First to have them suggest institutions which should be surveyed in order that we might get a representative picture of the duties of a Correction Officer. In addition we wanted some information concerning the various types of posts and/or duties performed by Correction Officers.

With regard to the latter, Commissioner Butler talked about the duties of a Company Officer, a Hall Officer, Counselor, Wall Man, Front Gate Officer, Arsenal Officer, Mess Hall Officer, etc. In each case he very briefly discussed the duties performed, singling out some of the unique characteristics and problems faced in each of these assignments. He indicated that within these and other more general assignments performed by the Correction Officers there is a rather broad range in responsibilities and in the complexity of the job. One could very easily infer from his statements that there is room for more than one level of non-supervisory Correction Officer. Further within the duties of Correction Officer there are dual assignments. For example, a Company Officer is in charge of about 30 to 40 inmates when they are gathered in a single unit. However, for much of the day, these inmates are broken into small groups performing various tasks. At such times the Company Officer is assigned another set of duties which would probably be supervising a certain work detail or assigned to the security of a classroom situation.

The following are those installations which he suggested to us and which we will survey beginning this week:

Institution	Type	Date	Conductors
Matteawan	Hospital	5/12	Soeller & Rockwood
Beacon	Reformatory	5/12	DesChamps & Roche
Green Haven	Prison	5/13	DesChamps & Roche
Wallkill	Prison	5/13	Soeller & Rockwood
Elmira	Reception Center	5/18	Soeller & Rockwood
Elmira	Reformatory	5/19	Soeller & Rockwood
Auburn	Prison	5/18 & 19	DesChamps & Roche
Monterey	Youth Camp	5/19	Soeller & Rockwood
Coxsackie	Reformatory	5/20	DesChamps & Roche
Clinton Diagnostic	-	?	

including Mid Hudson - MACC facility

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Following our discussions with the Correction Department officials we met with Mr. Hanrahan and Mr. Galvin and the dates and general format of the survey were determined.

Principal Classification and Pay Analyst

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SURVEY OF THE CORRECTION HOSPITAL OFFICER STAFF AT THE BEACON STATE INSTITUTION

The Beacon State Institution houses a grand total of 382 inmates. They have a staff of security employees ~~which numbers~~ numbering 161. Attached is a sheet which explains how the Beacon State Institution will receive its inmates in accordance with several different sections of the New York State Correction Law and the New York State Mental Hygiene Law. At the present, the inmate population consists of male mental retardates or borderline retardates (IQ 70-80) of 16 years of age. (IQ under 70) Those in the borderline category represent the largest group in the overall population. Nearly 300 of these borderline types have been transferred in from other Correction institutions. The majority are from Napanoch. Most of them have arrived from the last 6 to 8 weeks.

In 1966, the Department of Correction decided to convert the Beacon facility into an intensive care institution providing psychiatric and psychological treatment in a rehabilitation "milieu". The borderline types were transferred from Napanoch and other institutions because Correction wants them to be subjected to the intensive treatment program at Beacon. Prior to the introduction of the borderline retardates, the average IQ for the inmates at Beacon was 58. There are several who have been given IQ scores of 24 which is the lowest you can go on the standard intelligence scale. Actually many of these people are well below this 24 IQ but how low cannot be measured.

Doctor Helen Zagalog, introduced us to Mr. Roy Black, who is the Correction Hospital Supervising Officer. Dr. Zagalog said that she could not under estimate the role that the Correction Hospital Officers under Mr. Black's guidance play as members of the treatment team. ~~She said that~~ Their there are contacts with the inmates while they are on the wards, going to and from school or recreation and while they are involved in work situations, give them a real chance to contribute to the rehabilitation of these people. She mentioned that officers make progress records on the various patients with whom they come in contact, in a work situation or while working on a ward. Any unusual incidents

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must ~~meet~~ be recorded by the Correction Hospital Officer and brought to the attention of the professional treatment people so that the action of an inmate can be evaluated and remedial action ~~is~~ suggested. An advisory committee consisting of a professional counselor and one or more other program personnel and CHOs investigate any and all major incidents to determine their cause and what can be done to avoid reoccurance.

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Mr. Black spoke to us at some length about the same things mentioned by Dr. Zagalog. He supplied a chart which showed the proposed staffing for the entire week for the RSI. He indicated which posts were "fixed" meaning that ~~they~~ were permanently assigned to/from certain CHOs and would ~~not be ordinarily~~ be manned on a rotating basis. I asked Mr. Black if he had, himself, taken the training course being offered at Matteawan in counseling and handling of the mentally defective. He said he had taken that course and that a great many of the officers on his staff had taken it. They tried to assign ~~various~~ officers who serve ~~primarily~~ on the wards to these special courses when they are offered. At the present time, there are two men enrolled in this program. Prior to 1966, the Correction Hospital Officers had formal group counseling sessions which they ran on a regular schedule. At the present time, no formal group counseling is conducted. It is planned, however, that when the CHO staff is expanded, a regular schedule of counseling sessions will be drawn up to include the largest number of inmates possible. At the present time, there are seven counseling groups ~~with~~ heavily the professional Psychiatrists and Psychologists. The CHOs would be utilized primarily as co-counselors working closely with the professionals in a group situation. I asked Mr. Black if he thought training courses like those being offered at Matteawan were of benefit to the CHOs. He said that there was no question but that they were very valuable. Some of the theories and practices brought to light in courses of this nature are really quite helpful, showing the CHO the proper atitudes he should have toward his job and the patients and the conduct which will be most helpful to the patients. He pointed out that CHOs have many opportunities to utilize counseling skills other than while on the ward. He has had many years of experience in the Department of Correction and he states, it is characteristic of the mental defectives and the mental retardates at Beacon that they are willing to initiate

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conversation with the CHOs and they seem to be more willing than inmates in other Correction institutions to speak freely and reveal their true feelings to the CHO.

The program at Beacon consists of four hours of schooling and four hours on a work assignment for each inmate who is capable of attending school or working. Actually, every inmate is involved in some education program even those at the very lowest intelligence levels. If an inmate is scheduled for an interview with the Correction Service Unit Personnel or staff Psychiatrists or Psychologists, that appointment takes precedent over the school or the work assignment. The work assignments consist of assignment to various crews performing such work as outside maintenance, dining room and kitchen cleanup, cleaning work in the wards or administrative areas assisting recreation aides in recreation programs, etc. There is an extensive occupation therapy program which involves about 40 inmates who are not attending the regular academic or remedial course. The 24 hour day is broken down into five shifts some of them are overlapping to allow for coverage at the breakfast hour and through supper. Five shifts are:

6:30 a.m. to 2:30 p.m.
8:00 a.m. to 4:00 p.m.
11:00 a.m. to 7:00 p.m.

2:30 p.m. to 10:30 p.m.
10:30 p.m. to 6:30 a.m.
~~8:00 a.m. to 4:00 p.m.~~

In the seven wards where the inmates are housed, the officers work three contiguous eight hour shifts from:

6:30 to 2:30
2:30 to 10:30
10:30 to 6:30

There is very little rotation from shift to shift. Those who are working the day are for the most part those who have worked there for some time. Those working in the afternoon and night shifts likewise have been on their particular time schedule for some time. In the three largest wards which each have a 100 bed capacity (Ward-A Ward-B and Ward-C), the standard staffing calls for (1) Charge Officer and (3) CHOs for the 6:30 to 2:30 shift; (1) Senior Officer and (3) Charge Officers for the 2:30 to 10:30 shift; (1) Senior Officer and (2) Charge Officers for the 10:30 to 6:30 shift. Ward-D which has a reception ward where all incoming inmates are

first assigned until given permanent location, The normal staff consists of: (1) Charge Officer and (4) CHOs for the 6:30 to 2:30 shift; (1) Senior and (4) CHOs for the 2:30 to 10:30 shift; (1) Senior and (3) CHOs for the night shift. Wards E, F, and G each has a 30 bed capacity. The first shift staffing is (1) Charge Officer and (1) CHO, second calls for (1) Senior and (1) CHO and the third shift calls for (1) CHO to be stationed there. There is a Correction Hospital Supervising Officer on each of the three shifts.

Using the staff chart provided by Mr. Black for a guide, we toured the institution to take a look at each of the individual posts to which CHOs are assigned.

Front Office and Gates:

There are (2) CHOs assigned to work in this area during each of the three shifts. CHOs are rotated on to this particular post for periods of a week or two. ~~Those assigned here operate the front gate and the front door controls which allow people to enter or leave.~~ They check authorization of those coming and going and keep a record of any visitors. They have very little contact with the inmates other than to let them pass through the gates over which they have control. There is a corridor immediately off the main entrance area where inmates wait in line before they enter into the administration building for interviews with the Correction Service Unit Personnel. The officer at the front door will open the gateway into the corridor and call out the name of the inmate who is to go in next. He then escorts him into the Correction Service Unit. One of the officers working in that area said that he was ordinarily assigned to a ward but he had been asked to take this job for the day. He said that he was assigned to this post only occasionally.

Postage Room and Correspondence:

A Charge Officer is assigned to this particular room only between the hours of 11:00 a.m. and 7:00 p.m. He censors all incoming and outgoing mail including packages. He operates the electric controls from inside his office which opens and closes the front gate and the front door. He also serves as the guardian of the keys. All keys are checked out to the Correction Officers in the morning and that they must be accounted for before any shift can leave the institution. The man assigned to the post was busy sorting mail as we came through. He has been assigned

to this post on a permanent basis and as a result, does not have much inmate contact.

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Operating Room:

An officer is assigned to the top floor in the institution to provide security for the ~~infirmary and~~ operating room areas during the 11:00 to 7:00 shift. There are two nurses working in that area during this shift. The prime reason for the CHO being there is to protect the civilian employees, guarding the drugs and the instruments and supervising detail of inmates to keep the area clean. Those who report to the operating room area are watched very closely by the CHO. This particular man had been stationed in that area on a permanent basis a d was not rotated to other jobs. The patient contact that he has is with those who report to that area for medical treatment or to work on the cleanup crew under the CHO's supervision. Mr. Mannari and Mr. Fredericks, the CHOs who were showing us around, emphasized that any CHO who supervises a work crew must make reports on conduct of the members of the work group and try to provide attentive guidance to them during the course of the day. ~~Unfortunately~~, the CHO assigned to the operating room area had been called away from his post for a moment and we were unable to interview him.

Central Supply:

The CHO assigned here works the 6:30 to 2:30 shift. ~~Actually~~ there are three ~~different~~ CHOs who are rotated into this position on a relatively regular basis, each serving a few weeks or and filling in when one of the others can't make it. The work amounts to general distribution and collection of ~~various~~ sundries supplies used in the Beacon Institution. The supplies are drawn from the main supply center at Matteawan and shipped to Beacon where they are distributed under the direction of the CHO. He has a small work crew of twelve or so inmates who assists him in the various aspects of his job. On Monday, Wednesday and Friday, the CHO is assigned the responsibility of picking up various surgical instruments from all over Matteawan and bringing them back to Beacon to the operating room area where large steam autoclaves are used to sterilize the instruments. He then returns those

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instruments to the appropriate owner. I neglected to ask whether or not any members of the work crew accompanied the CHO when he performed his duties. I imagine that someone does go with him. ~~We did not speak to the man working at Central Supply.~~

~~The~~ Home B:

This CHO has charge of a work detail whose responsibility is to cleanup the staff dormitories (Home B). He picks up the members of his detail in the morning, marches them to work, brings them back to the dining room for lunch, at which time he is responsible for taking the prisoners from the segregation ward into the recreation yard for exercise. He returns those people to the segre ation ward at the end of the lunch hour, picks up members of his crew and returns to work in the dormitories. At the end of the day, he returns members of his work crew to their respective wards. This CHO is responsible for providing attentive guidance to those inmates under his supervision. He is called upon to submit quarterly evaluations of the performance of the various inmates assigned to his work group and he must also relate any unusual behavior which he may notice.

~~The~~ Outside Grounds:

This CHO takes care of the work crew of five or six inmates assigned to normal grounds maintenance. We saw him on the lawn of the institution when we drove up to the main gate. His crew was busy mowing the lawn with power mowers and he was talking to one of the inmates on the crew. The officer showing us around ~~again~~ emphasized how important a role in counseling and advising the inmates that this type of work crew supervisor must play.

Utility Officer:

This CHO has a large 26 man crew which he supervises in the performance of maintenance and repairs within the grounds of the institution. He has been assigned to this area for many years and is able to supply expert instruction and guidance to the inmates who work for him.

Compound:

This CHO supervises one half of the utility crew or may be utilized on the ward if necessary. His primary duties are the daily garage pickups ~~and pickup~~ and

distributing the bread and rolls and other baked goods for use in the institution.

Occupational Therapy:

There are two men assigned to the Occupational Therapy shop on the 8 to 4 shift. They are responsible for maintaining order and discipline among the inmates who are in this particular program. They pick up the participants in the occupational program and deliver them for chow call and back to their wards at the end of the day. At one time, both of these CHOs were utilized as instructors. Since full-time instructors have now been hired, their roles have, of course, changed. They do, however, assist in the instruction of the inmates by making themselves available in the classroom area, to advise the inmates on any task they might be having trouble with.

Clothes Room:

This CHO supervises six inmates in the issuing of the laundry for the institution, collecting and sorting clothes for their change twice a week for all inmates, conducting clothing inventory and requisition and he also supplies security for the barber shop area.

Rear Entrance and Security:

This CHO is under permanent assignment to perform routine security checks and operate the gates at the rear entrance of the institution. He performs basically the same duties as the officers assigned to the front gate area.

Kitchen and Dining Room Area:

There is a Charge Officer who has responsibility for the kitchen and dining room areas. One CHO is assigned to the mess hall area and another is assigned to the kitchen area. There is also a CHO who reports to the mess hall area during the lunch hour when all the inmates are being fed to help patrol that area. Three or four CHOs whose work crews would be in the mess hall during the noon hour are kept near by in reserve, in case of difficulty. The Charge Officer works the 11:00 to 7:00 shift and one of the CHO Officers works that shift with him while the other works from 6:30

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to 2:30. ~~But~~ The three officers ~~that~~ keep track of food service work crews who ~~are~~ under the supervison of the cooks, prepare the meals eaten by the inmates and keep the dining room and kitchen areas clean. These are permanent assignments ~~for the individuals involved.~~ One man mentioned that he had been in the kitchen area for 11 years. They naturally have to stay alert and account for all utensils specifically the knives and forks which are given to the inmates at meal time and also the sharper knives which are utilized by the inmates on the food service crews ~~and normal kitchen wares.~~ The Charge Officers complain that on weekends he is sometimes ~~completely~~ alone in both the kitchen and dining room areas with the exception of the CHO assigned to provide security during the meals. We spoke to the ~~Charge Officer~~ CHO in the kitchen area and ~~to~~ with the two ~~Charge Officers~~ CHO stationed there. They emphasized that the prime consideration during the meals was to get the men in and out of the mess hall area as quickly as possible so as not to allow them to start any disruptive behavior while en masse. For the rest of the day, a good deal of time is spent in supervising the inmates who work in the kitchen area. The Charge Officer had been to the counseling courses offered at Matteawan and he felt that they had helped tremendously in his day-to-day supervison over inmates. As their boss, so to speak, he has many chances to offer advice and provide guidance to all who are under his command. Both he and the CHO indicated that there is ~~the~~ constant interchange between the prisoners and themselves and that they have ample occasion to answer questions, and to provide advise and direction to the inmates. While we were there, the Head Cook cornered us and mentioned that if the ~~Charge Officers~~ CHO are reallocated on the basis of the counseling and rehabilitation function they perform, his class should also be considered for an upgrading as he functions as what amounts to a vocational instructor. He, too, ~~admitted~~ indicated that the CHOs in the kitchen area and the dining hall area do have open communication with the people in their work crews and they had many times helped in the supervision and guidance of the inmates ~~on~~ in their ~~usual~~ work.

The Wards:

The inmates at Beacon are housed in dormitory wards. ~~As indicated before~~ there are ~~altogether~~ seven wards, three larger ones, one reception ward and three

smaller ones. We visited the Reception Ward-D first and then ~~visited~~ Ward-B. One wing of Ward-D is the segregation ~~ward~~ unit where individuals who have acted out in a violent manner are isolated until they are judged fit to be readmitted into the general population. These people are kept in individual cells and depending on the nature of the offense, some may be "locked in" with no freedom to walk in the corridor. Charge Officer, Mannarie is in charge of this ward and explained some of the routine duties connected with handling these people. Several of the people he showed us were seriously defective one who appeared to be a Mongoloid ~~who~~ was barely capable of speech and because of a severe ~~operation seemed to have~~ obesity had a good deal of trouble moving around. He was approximately 5' 6" and weighed 337 lbs. He was on the segregation ward because he had attacked ~~the people of the institution~~ the institution barber and smashed the barber's chair before he could be restrained by the CHOs in the area.

Another of the inmates was a large man who stood about 6' 5" and weighed over 300 lbs. He was relatively docile and wandered freely in the corridor helping with various tasks such as, picking up papers and pushing the broom. The man was incapable of keeping himself clean and Charge Officer, Mannarie, informed us that he and another officer had to bathe ~~the~~ that man that morning. They had to shampoo his hair and he objected violently ~~and~~ it had taken them some time to complete the job.

There was another inmate confined in the segregation ward who in appearance was more normal than the two people just mentioned. He stood in the door way of his cell which was door-less because the man had strong suicidal tendencies and has to be watched at all times and made comments about the two guys in the suits who were going to give the CHO a big job somewhere. There is a CHO stationed on the segregation ward at all times. Occasionally in a rare emergency, he may have to watch the other two wings on the ward because people have been called away. There is a desk at the end of the segregation corridor where there is a medication tray which shows the various medications which must be distributed to those patients on that wing during the day. A nurse prepares the medications which are almost exclusively administered orally and they are delivered to each ward and distributed by the CHO.

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The Charge Officer has many forms (copies of which are attached), which he must fill out and which requires as much as 4 or 5 hours of attention each day. The CHO working with the Charge Officer also has responsibility for filling out quarterly progress reports on inmates and incident reports whenever anything unusual should occur. Both Mr. Mannarie and the officer stationed on the segregation wing have had counseling training as given at Matteawan and many other training courses over the years. For instance, last year the National Institute of Mental Hygiene gave an extensive nursing course which included some psychology and group therapy with small groups. Mr. Mannarie had just taken a Mental Hygiene course on the handling and treatment of the mental retardates, they were 25 three-hour classes. There is a locker room on each floor where every patient is given an individual locker to keep the few personal belongings that he is allowed to have. The CHO holds a locker call at various times during the day to allow the inmates ~~permission~~ to get what they want from their lockers. The Correction Officers wake the inmates up at 6:30. In the large wards, where there are 100 or more sleeping in the one large sleeping room, it is often quite difficult to get everyone up and ready to go. The officers emphasized that this is one of the hardest duties because of the nature of the people that they are dealing with. Most of the officers we came in contact with, spoke of the unusually hard time they were having with the inmates who had just been brought into the institution over the last few months. They were referring to the borderline retardates who were transferred in from other Correction institutions. The individuals were "institution wise" and on a whole a little more intelligent than the mentally defective who previously comprised the entire population. When they saw that the CHOs in Beacon did not carry clubs as is the case in other institutions, they were quick to ask the CHO "How do you think you are going to handle us without clubs?"

There have been incidents at night when the Senior Officer and the CHO are locked into the sleeping room with the inmates that ~~20~~ 10 or ~~30~~ 20 inmates would gather around the officers and make threatening gestures or taunt the officers. No real trouble has developed and the individuals involved have been able to deal with the situation without resorting to violence. Mr. Mannarie says that when a situation

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Monterey Youth Camp

On Tuesday May 19 Larry Rockwood and I visited Monterey Youth Camp and first talked with Mr. Cassidy, CorrectionYouth Camp Supervisor. He described the camp very generally stating that it has a capacity for 80 camp men, is used as a "parole camp", and for the most part the camp men are out of the camp working on conservation projects.

As a parole camp the camp men are at Monterey for a very short period of time, usually not more than three months. During this time they areawaiting the final appearance before the parole board and a definite date for parole. Consequently there are no security problems to speak of at Monterey.

Following our discussion with Mr. Cassidy both Larry Rockwood and myself toured the facilities with James Crowley, Assistant Correction Youth Camp Supervisor. Briefly the facilities include an administration building, a dormitory building with an attached kitchen and dining room. The camp men are in a process of constructing a recreation hall which will also be attached to the dormitory. In addition there is a woodworking shop and a garage used by the Conservation Department in separate buildings behind the dining room. We also received the pleasure of a tour of the new sewage treatment plant which Mr. Crowley is now certified to operate.

Each day all but about 22 of the camp men are off the camp premises working on various conservation projects. For example, right now they provide workers at the Painted Post Nursery and at Watkins Glen State Park the men work on various reforestation and water resources projects. The 22 men remaining at the camp are responsible for working in the kitchen, the shop area and on various cleanup and maintenance projects throughout the camp. There is only one Correction Officer on duty at the camp during the day. The work gangs in the field are broken up into 13 in groups with one Correction Officer to each group. Following this

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tour we met with the various Officers and Assistant Supervisors.

Correction Youth Camp Officer:

I met with both Mr. David Hood and Harry Lawrence. At the beginning of this interview Mr. Hood presented me with the attached listing of duties. He explained that these duties are performed within a framework of supervising and rehabilitating the camp men. On a given work project they must first learn from the Conservation Department some of the procedures to be followed in accomplishing the work objectives. Then he must inspect and supervise the camp men in such procedures. In talking about rehabilitation both men referred to their counseling duties. They stated they conducted group counseling sessions once a week. However, in discussing this issue with them they did state that these were of limited value at this camp because of the short period of time remaining to work with the men.

They stated that each of the Officers work on a rotating shift basis and, therefore, each works all of the posts manned by a Correction Officer throughout the 24 hours. A schedule is attached to this report.

Assistant Youth Camp Supervisor:

I talked with the three Assistant Supervisors: James Crowley, Laverne Lapp, and James Torrey. Again each of these men submitted a sheet of paper which in part describes some of their duties. They each work a rotating shift which averages out to two Officers being on duty and one being off duty each day.

One of the Assistant Supervisors reports at 7:00 a.m. and stays until 3:00 p.m. The second reports at 2:00 p.m. and remains on duty until 10:00 p.m. The first Assistant Supervisor reporting during the day is in charge of "getting things going." He ensures that the camp men are up, fed, ready for work, and assembled into work gangs. He ensures that the work gangs leave the camp when they are supposed to. During the day he prepares some work schedules and reports and also visits the crews in the field.

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The Officer reporting at 2:00 p.m. meets with the First Assistant Supervisor of the day to determine what is going on that day. During the period from 4:00 p.m. until 10:00 p.m. he is in charge of the camp with all of the camp men on the grounds. During this time he is responsible for the complete security and housekeeping. In addition he must prepare the camp men who are leaving the camp on the next day for their departure. He also receives new camp men, makes assignments for the next day's work and orients them to the camp.

All of the Assistant Supervisors placed a great deal of emphasis on the responsibilities of being in charge of the camp when the Supervisor is off the grounds, i.e. at night and on weekends. Mr. Torrey in particular recounted a number of experiences he has had which required that he make an immediate decision because he was the ranking supervisor at the camp. These problems involved such things as a sick camp man, visitors who arrive on the grounds after visiting hours and visitors who have arrived slightly under the weather.

Attachments
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Camp Monteray

Correction Youth Camp Officer Robert Soule

The Correction Officers is assigned to Camp Monteray work rotating shifts on a weekly basis. In talking with Correction Officer Soule, I found that they have no regular post assignments as they do in other correctional institutions but, because of the nature of their assignments, make frequent rotations. On this day he was supervising the house crew, which involved two trips to Elmira, one to the Reformatory and the other to the Infirmary. Other responsibilities include frequent errands to town to pick up plumbing fixtures, parts, appliances or other needed materials, or tools used in Camp maintenance. As he is required to drive a Conservation Department bus or truck to transport Campmen to work assignments, he is required to have a chauffeur's license. It would appear, from my observation, that much of their concern on this assignment is directed toward the problems of Camp maintenance with a minimum amount of security or training being effected. On other days, Mr. Soule will supervise a crew of 13 Campmen performing various Conservation activities in and around the area on the order of planting trees, pruning or cutting down dead trees, working in parks, and the like. Any assignment involving a Conservation project is usually supervised by someone from the Conservation Department. They will lay out the work and, if necessary, accompany the crew to insure that the work is done properly. It appears that the prime responsibility of the Correction Officer on these assignments is one of supervision and security. The Correction Officer is responsible for making a daily working sheet for each Campman assigned to him which covers the quality of work performed, how he gets along with his peers and the supervisor, the quantity of work produced,

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in a graded report with scores assigned from 1 to 5 for each category (poor to excellent), and a narrative report. and the like. This daily marking sheet is turned in to the Assistant Supervisor for evaluation and any remedial action necessary. During the night shift only two men are assigned to the Camp, both primarily concerned with security.

Currently, no in-service training program is being offered the Correction Officers to cope with the unique function of this Camp. As defined earlier, this is a parole Camp processing boys from the other three Correction Camps for a period of up to three months prior to parole. They do claim weekly group counseling sessions involving all Campmen and Correction Officers on duty on an involuntary basis. It is reported that this program is not terribly successful considering the fact that the groups are together for such a short period of time and that at each session they will have a different leader. In addition, no first aid training is offered the Correction Officers at the Camp, which was a surprise to me considering the nature of this work and the locations in which they work. This Camp appears to be very "low key" with much of the emphasis, at least during the time we were there, being directed toward problems of maintenance. One Assistant Supervisor, for example, recently completed a two-week training course at Syracuse University and has been certified by the Department of Health to operate their Sewage Treatment Waste-Disposal Plant. This same man is also concerned with the Water Softener, the Boiler and the Auxiliary Electric Generator. It has been proposed that a maintenance man be assigned to this Camp.

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CAMP MONTEREY

(1) Between the hours of 10:00 PM and 7:00 AM (a period of 9 hours) the Corr. Youth Camp Officer has the responsibility for the entire Camp facility, except for rare emergencie calls to the administration.

(2) Group Counseling is done by most Corr. Youth Camp Officers. Certification of qualified group counselors occur after a required training period, from a clinical psychologist. Individual counseling is done by all Corr. Youth Camp Officers.

(3) Anecdotal records of activities - work, recreational and personal, are made by the Corr. Youth Camp Officer for use of the administration in preparing pre-parole reports. They are also responsible for enculturating in these youthful offenders attitudes, personal habits, and work habits conducive to responsible living, through personal leadership and habits. He is responsible for assisting these youths to achieve a self control and respect for others in their life at the camp itself, and prepare them for life later in a free community.

(4) All Officers are required to work a rotating shift, so that all are qualified and trained to handle all phases of the camp program.

(5) We work in a sparsely populated area where the educational level in t surrounding districts are quite often below standard, the housing situation is poor requiring us to live at quite a distance from our work, traveling over poor roads, causing great financial expenditures and travel time.

(6) The job requires a greater versatility than an average prison officer, because of all the different jobs we have to do and the knowledge we have to obtain through instructions and on the job training to supervise these jobs. We work in State Parks, Nurseries, thinning and pruning of plantations, reforestation projects, truck trail maintenance, building of roads, camp sites, fishing ponds and Conservation and Correction buildings, also stream improvements, forest recreation projects, forest fire control and other projects too numerous to mention.

(7) We are responsible for transporting cammen to, and from, sick visits, funeral visits, doctor, dentist, and other transfers.

(8) We all have to have a through knowledge of First Aid due to the fact that we work (13) men in the woods with axes and saws and occasionally we have serious cuts on a gang that have to be treated immediately before the injured can be moved for further medical attention. We have no doctor at camp.

(9) We all have to have a knowledge of our electric, sewage, and water systems. We are called on to maintain these systems. We have to be able to rejuvenate our water system, operate our emergency power system, and be able to supervise the maintenance of our grounds, equipment and buildings. We are responsible during our night shifts for immediate action in fire control.

(10) We are required to work closely with the administration in scheduling recreational activities and then under general supervision assume responsibilities for the supervision of the activities. Also, Physical Education, Hobbies, and Field Trips. Because of the nature of the camp program the Corr. Youth Camp Officer frequently exercises independent judgement both in relation to work and leisure time activities. We have the responsibility for decision making on a ongoing basis for a work crew of (13) men. At times, contact with administration is not possible or feasible, requiring immediate action on the part of the Corr. Youth Camp Officer.

(11) While custody is essential, our duties are more closely associated with rehabilitation. We have a much closer relationship with the campman. We help the campman with his family problems, camp problems, writing letters, and visits with his family. We also aid in creating interests in constructional hobbies, teaching good work habits, how to accept authority and how to get along with each other.

(12) Correction Youth Camp Officers all have to work in an institution, before transferring to camp.

(13) We come in close contact with the public, due to the nature of various work projects. We have to be very careful of the deportment of ourselves and our work crews to maintain a good public relationship.

(14) Officers are required to operate various types of motor vehicles such as trucks, cars and buses. We also are required to have a Class 2 or higher Chauffeurs license in order to operate them.

Defendants' Exhibit H—Ethnic Item Analysis on examination no. 34-944

EXPLANATION OF ITEM ANALYSIS
COMPUTER OUTPUT

Ethnic Item Analysis

1. The six subtests are as follows:

SUBTEST NO.	ITEM NO.	RUBRIC
485EØ	1-15	Laws, Rules, and Regulations
485E1	16-30	Modern Correctional Methods
485E2	31-45	Supervision
485E3	46-60	Preparing Written Material
486EØ	1-15	Correctional Judgment

2. The exam numbers all refer to exam No. 34-944, Correction Sergeant (Male)-10-14-72

   B4944 refers to Blacks taking the Sergeant exam
   P4944 refers to Hispanics taking the Sergeant exam
   X4944 refers to Whites and Others taking the Sergeant exam

3. Response data is illustrated by the following sample:

485EØ B4944

ITEM		A	B	C	D	
01	HI	1	9	33*	8	← eight HI candidates answered D
	LO	2	15	25*	10	← ten LO candidates answered D

refers to item number within the subtest (not necessarily the item number in the test booklet)

median split based on subtest scores

Out of 103 candidates, 51 are in the HI group, 52 in the LO group

asterisk indicates the key answer

Preliminary Scores Distribution

Shows number of candidates who received each score on that subtest.

DX H

Clear copy of face page substituted for unreadable xerox originally submitted

DEPT OF CIVIL SERVICE
ITEM ANALYSIS

SUBTEST NO. 48520 EXAMINATION NO. 84944 JUNE 21, 1973 00103 CANDIDATES

ITEM		A	B	C	D	E	OMIT
01	HI	1	9	33*	8		
	LO	2	15	25*	10		
02	HI	6	15*	29	1		
	LO	9	9*	20	14		
03	HI	4	12	21	13*	1	
	LO	20	11	12	9*		
04	HI	4		9	38*		
	LO	17	1	8	26*		
05	HI	1	3	40*	7		
	LO	1	3	36*	12		
06	HI		33*	8	10		
	LO		20*	11	21		
07	HI	30	14*	1	6		
	LO	39	6*		7		
08	HI	2	9	1	38*		1
	LO	8	11	5	27*		1
09	HI	29	16*		6		
	LO	30	6*		16		
10	HI	13*	1	30	7		
	LO	4*	6	24	17		1
11	HI	3	6	10	32*		
	LO	15	5	16	16*		
12	HI	3	12	9	22*		
	LO	13	17	14	8*		
13	HI	27*	4	7	13		
	LO	14*	9	14	15		
14	HI	18	12	21*			
	LO	32	17	9*			
15	HI		14	37*			
	LO	1	24	22*	5		

DXH

DEPT OF CIVIL SERVICE — PAGE 2
ITEM ANALYSIS — JUNE 21, 1973
SUBTEST NO. 48561 — EXAMINATION NO. 84944 — 00103 CANDIDATES

ITEM		A	B	C	D	E	OMIT
01	HI	14	4	19*	14		
	LO	4	6	12*	29		1
02	HI	3	47*		1		
	LO	8	40*	3	1		
03	HI	17*		4	30		
	LO	11*		5	36		
04	HI		3	3	45*		
	LO		6	11	35*		
05	HI	35*		3	13		
	LO	25*	2	8	17		
06	HI	2	1	2	46*		
	LO	3	10	3	36*		
07	HI	5	43*	1	2		
	LO	14	23*	2	13		
08	HI	41*		3	7		
	LO	29*	2	2	19		
09	HI	1	10	39*	1		
	LO	1	17	31*	3		
10	HI		3		48*		
	LO		8	3	41*		
11	HI	3	44*	1	3		
	LO	3	41*		7	1	
12	HI		9	41*	1		
	LO	5	19	28*			
13	HI			51*			
	LO	3	2	43*	4		
14	HI	39*	7	4	1		
	LO	28*	14	6	4		
15	HI	2	3		46*		
	LO		5	9	33*		

DXH

(4)

ITEM		A	B	C	D	E	OMIT
01	HI	1			50*		
	LO	3	1	3	45*		
02	HI	26*	5	17	1	2	
	LO	17*	3	27		5	
03	HI		40*	4	2	5	
	LO	2	38*	5	1	6	
04	HI	20	14*	16	1		
	LO	15	9*	18	4	6	
05	HI	1	3		47*		
	LO	1	10	6	35*		
06	HI	8	1	18*	9	15	
	LO	12	2	4*	17	17	
07	HI	2	18	10	20*	1	
	LO	2	15	15	18*	2	
08	HI	1	2	3	3	42*	
	LO	2	5	4	9	32*	
09	HI	33*	3		8	7	
	LO	23*	4	1	11	13	
10	HI	10	1	16	5	19*	
	LO	6	1	15	15	15*	
11	HI	48*		2		1	
	LO	37*		10		5	
12	HI	6	25*	1	18	1	
	LO	5	16*	4	26	1	
13	HI	32*		7	7	5	
	LO	19*		13	8	12	
14	HI	6	12	6	25*	2	
	LO	7	15	15	12*	3	
15	HI	19	21*	1	9	1	
	LO	32	10*	3	7		

DXH

ITEM		A	B	C	D	E	OMIT
		.17	.04			.06	
01	HI	4	2	42*	1	2	
	LO	14	2	28*	4	4	
02	HI		48*		1	2	
	LO		42*	1	1	8	
03	HI	17	31*			3	
	LO	25	21*	2		4	
04	HI	1	3		1	46*	
	LO	7	6	2	4	33*	
			.17			.22	
05	HI	5	7	1	34*	4	
	LO	10	11	3	11*	17	
06	HI		34*	11	6		
	LO	5	19*	9	18	1	
07	HI		3	4	1	43*	
	LO		12	14	2	24*	
08	HI		16		34*	1	
	LO	7	18	2	22*	3	
09	HI	1	3	1	44*	2	
	LO	4	5	11	29*	3	
10	HI	7	3	38*	3		
	LO	17	6	27*	2		
11	HI	14	13	3	2	19*	
	LO	8	22	7	7	8*	
12	HI	7	40*	1	1	2	
	LO	13	21*	7	8	3	
13	HI	33*	4	6	5	3	
	LO	17*	15	8	6	6	
14	HI	5	7	26*	5	8	
	LO	7	7	18*	10	10	
15	HI	17	28*	1	4	1	
	LO	20	14*	2	10	6	

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ITEM		A	B	C	D	E	OMIT
01	HI	10	6	32*	2		
	LO	20	11	12*	6		1
02	HI	3	3		44*		
	LO	8	8	6	28*		
03	HI	14	33*	1	2		
	LO	16	20*	2	12		
04	HI	1	23	15*	11		
	LO		25	7*	18		
05	HI	26*	14	10			
	LO	19*	24	7			
06	HI	1			49*		
	LO	5	3	2	40*		
07	HI	4	1	41*	4		
	LO	4	4	33*	9		
08	HI	3	1		46*		
	LO	4	2		44*		
09	HI		50*				
	LO	1	43*	1	5		
10	HI	2	36	11*	1		
	LO	1	38	11*			
11	HI	3	35*		12		
	LO	10	24*	2	14		
12	HI	3	3	7	37*		
	LO	3	3	20	23*		1
13	HI	2	46*	1	1		
	LO	1	35*	7	7		
14	HI			50*			
	LO		3	44*	3		
15	HI	44*	1	5			
	LO	35*		13	2		

DXH

DEPT OF CIVIL SERVICE
PRELIMINARY SCORES DISTRIBUTION
EXAM NO. 84944 SUBTEST NO. 48520

JUNE 21, 1977
NO. OF CANDIDATES 00103

SCORE	00	01	02	03
NO CAND.		3	2	7
SCORE	04	05	06	07
NO CAND.	11	15	27	13
SCORE	08	09	10	11
NO CAND.	12	6	4	3
SCORE	12	13	14	15
NO CAND.				

DXH

DEPT OF CIVIL SERVICE
PRELIMINARY SCORES DISTRIBUTION
EXAM NO. 84944 SUBTEST NO. 485E1

JUNE 21, 1973
NO. OF CANDIDATES 00103

8

SCORE	00	01	02	03
NO CAND.				
SCORE	04	05	06	07
NO CAND.				6
SCORE	08	09	10	11
NO CAND.	14	13	20	20
SCORE	12	13	14	15
NO CAND.	20	9	1	

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DEPT OF CIVIL SERVICE
PRELIMINARY SCORES DISTRIBUTION
EXAM NO. B4944 SUBTEST NO. 485E2

PAGE
JUNE 21, 197
NO. OF CANDIDATES 001

SCORE	00	01	02	03
NO CAND.				2
SCORE	04	05	06	07
NO CAND.	2	5	14	25
SCORE	08	09	10	11
NO CAND.	24	16	11	2
SCORE	12	13	14	15
NO CAND.	2			

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PRELIMINARY SCORES DISTRIBUTION

EXAM NO. B4944 SUBTEST NO. 485E3 NO. OF CANDIDATES 0

JUNE 21, 1

SCORE	00	01	02	03
NO CAND.				1
SCORE	04	05	06	07
NO CAND.	5	9	9	12
SCORE	08	09	10	11
NO CAND.	19	15	13	5
SCORE	12	13	14	15
NO CAND.	3	8	4	

DXH

DEPT OF CIVIL SERVICE
PRELIMINARY SCORES DISTRIBUTION
EXAM NO. 84944 SUBTEST NO. 48660

JUNE 21, 1973
NO. OF CANDIDATES 00100

SCORE	00	01	02	03
NO CAND.				
SCORE	04	05	06	07
NO CAND.		1	3	8
SCORE	08	09	10	11
NO CAND.	10	21	20	22
SCORE	12	13	14	15
NO CAND.	10	3	2	

DXH

(12)

ITEM		A	B	C	D	E	OMIT
01	HI	8	72	427*	154		
	LO	15	136	278*	233		
02	HI	145	202*	287	27		
	LO	147	91*	362	61		1
03	HI	38	60	162	400*	1	
	LO	88	166	240	167*	1	
04	HI	91	1	44	524*	1	
	LO	207	12	81	360*	2	
05	HI	85	17	504*	55		
	LO	110	50	395*	106		1
06	HI		440*	123	98		
	LO	1	250*	205	205	1	
07	HI	368	198*	10	85		
	LO	467	48*	21	126		
08	HI	26	99	27	509*		
	LO	53	152	61	395*	1	
09	HI	316	263*	2	80		
	LO	400	108*	1	152		1
10	HI	171*	28	354	107		1
	LO	74*	53	387	148		
11	HI	77	54	72	458*		
	LO	161	89	159	252*	1	
12	HI	82	127	82	370*		
	LO	126	148	141	246*	1	
13	HI	252*	65	175	169		
	LO	151*	107	193	205		
14	HI	264	100	297*			
	LO	444	116	101*	1		
15	HI		52	634*	5	1	
	LO	6	117	599*	30		

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DEPT OF CIVIL SERVICE
ITEM ANALYSIS
EXAMINATION NO. X4944

PAGE 12
JUNE 21, 1973
01323 CANDIDATES

SUBTEST NO. 485E1

ITEM		A	B	C	D	E	OMIT
01	HI	158	19	353*	131		
	LO	180	45	142*	294		1
02	HI	66	582*	5	8		
	LO	166	469*	5	22		
03	HI	251*	1	24	385		
	LO	127*	3	33	499		
04	HI		12	10	639*		
	LO	12	45	45	560*		
05	HI	522*	4	55	79		
	LO	360*	10	115	177		1
06	HI	1	17	10	633*		
	LO	10	54	21	577*		
07	HI	48	573*	3	37		
	LO	115	435*	14	98		
08	HI	594*		17	50		
	LO	473*	5	43	141		
09	HI		99	545*	17		
	LO	19	240	363*	40		
10	HI		13		648*		
	LO	8	44	4	606*		
11	HI	3	644*	6	8		
	LO	9	602*	20	31		
12	HI	3	72	576*	10		
	LO	14	194	429*	25		
13	HI		2	647*	12		
	LO	3	8	622*	29		
14	HI	549*	79	26	8		
	LO	383*	168	83	28		
15	HI	18	106	19	518*		
	LO	42	246	68	315*	1	

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14

ITEM		A	B	C	D	E	OMIT
01	HI	27	16	4	609*	1	
	LO	55	42	2	552*	6	1
02	HI	468*	24	149	1	15	
	LO	305*	47	247	10	47	2
03	HI	3	599*	20	5	30	
	LO	17	500*	34	25	82	
04	HI	115	352*	149	10	30	1
	LO	175	166*	232	28	57	
05	HI	2	16	4	635*		
	LO	2	53	28	572*	3	
06	HI	65	10	373*	90	118	1
	LO	97	20	212*	149	180	
07	HI	12	118	55	471*	1	
	LO	30	219	121	278*	9	1
08	HI	11	18	26	60	542*	
	LO	23	43	62	96	434*	
09	HI	539*	8	3	52	55	
	LO	379*	23	12	143	100	1
10	HI	76	6	133	27	415*	
	LO	128	8	198	89	234*	1
11	HI	588*	7	30		32	
	LO	498*	22	85	4	49	
12	HI	35	363*	20	233	5	1
	LO	62	209*	39	329	19	
13	HI	408*		96	62	90	1
	LO	209*	10	143	130	166	
14	HI	47	90	53	458*	49	
	LO	118	32	88	288*	82	
15	HI	197	356*	2	87	15	
	LO	296	192*	18	128	24	

DXH

DEPT OF CIVIL SERVICE
ITEM ANALYSIS
JUNE 21, 1973
SUBTEST NO. 485E3 EXAMINATION NO. X4944 01315 CANDIDATES

ITEM		A	B	C	D	E	OMIT
01	HI	102	6	508*	14	27	
	LO	188	23	329*	46	71	1
02	HI		638*		1	18	
	LO	3	561*	6	6	81	1
03	HI	136	501*	3	1	16	
	LO	295	284*	21	12	45	1
04	HI	7	7	3	3	637*	
	LO	41	45	22	27	523*	
05	HI	33	33	6	541*	44	
	LO	67	99	29	268*	194	1
06	HI	4	539*	59	55		
	LO	15	323*	139	162	19	
07	HI	1	22	47	5	582*	
	LO	6	123	111	19	398*	1
08	HI	9	212	2	432*	2	
	LO	47	291	4	307*	9	
09	HI	2	5	6	634*	9	1
	LO	18	52	35	509*	44	
10	HI	41	9	602*	5		
	LO	188	62	365*	33	10	
11	HI	28	114	14	18	483*	
	LO	121	257	60	38	180*	2
12	HI	37	592*	13	5	9	1
	LO	109	407*	80	28	32	2
13	HI	568*	24	27	8	30	
	LO	326*	95	94	30	111	2
14	HI	46	58	400*	98	55	
	LO	66	113	226*	135	116	2
15	HI	68	503*	9	64	13	
	LO	202	255*	39	127	33	2

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ITEM		A	B	C	D	E	OMIT
01	HI	95	56	465*	42		
	LO	183	133	254*	87		2
02	HI	14	15	5	623*		1
	LO	55	85	39	479*		1
03	HI	142	349*	54	113		
	LO	263	162*	113	120		1
04	HI	2	229	274*	153		
	LO	4	278	129*	248		
05	HI	369*	160	129			
	LO	182*	260	215	2		
06	HI	7	6	1	643*		1
	LO	39	29	20	571*		
07	HI	28	11	599*	20		
	LO	74	58	460*	67		
08	HI	13	1		644*		
	LO	56	10	1	592*		
09	HI		652*	2	4		
	LO	1	619*	13	25		1
10	HI	2	365	274*	17		
	LO	8	462	169*	19		1
11	HI	103	457*	6	91	1	
	LO	210	281*	24	143		1
12	HI	7	34	49	568*		
	LO	41	84	117	417*		
13	HI	1	635*	10	12		
	LO	6	556*	30	67		
14	HI		11	645*	2		
	LO	4	61	579*	14		1
15	HI	320*	20	116	2		
	LO	191*	38	217	13		

DXH

DEPT OF CIVIL SERVICE
PRELIMINARY SCORES DISTRIBUTION
EXAM NO. X4944 SUBTEST NO. 485E0

JUNE 21, 1973
NO. OF CANDIDATES 01323

SCORE	00	01	02	03
NO CAND.		3	15	42
SCORE	04	05	06	07
NO CAND.	115	181	241	265
SCORE	08	09	10	11
NO CAND.	194	118	82	33
SCORE	12	13	14	15
NO CAND.	16	13	5	

DXH

DEPT. OF CIVIL SERVICE
PRELIMINARY SCORES DISTRIBUTION
JUNE 21, 1973
EXAM NO. X4944 SUBTEST NO. 485E1 NO. OF CANDIDATES 01323

SCORE	00	01	02	03
NO CAND.				1
SCORE	04	05	06	07
NO CAND.		1	5	30
SCORE	08	09	10	11
NO CAND.	68	124	208	312
SCORE	12	13	14	15
NO CAND.	266	209	78	21

DXH

DEPT OF CIVIL SERVICE
PRELIMINARY SCORES DISTRIBUTION
EXAM NO. X4944 SUBJECT NO. 48562

JUNE 24, 197
NO. OF CANDIDATES 013

SCORE	00	01	02	03
NO CAND.			1	3
SCORE	04	05	06	07
NO CAND.	8	29	76	140
SCORE	08	09	10	11
NO CAND.	205	246	221	197
SCORE	12	13	14	15
NO CAND.	128	44	14	3

DXH

DEPT OF CIVIL SERVICE
PRELIMINARY SCORES DISTRIBUTION
EXAM NO. X4944 SUBTEST NO. 485E3

JUNE 21, 1973
NO. OF CANDIDATES 0131

SCORE	00	01	02	03
NO CAND.			1	9
SCORE	04	05	06	07
NO CAND.	28	44	49	91
SCORE	08	09	10	11
NO CAND.	126	139	179	190
SCORE	12	13	14	15
NO CAND.	180	128	99	52

D

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DXH

DEPT OF CIVIL SERVICE
PRELIMINARY SCORES DISTRIBUTION
EXAM NO. X4944 SUBTEST NO. 486E0

JUNE 21, 1973
NO. OF CANDIDATES 01317

SCORE	00	01	02	03
NO CAND.				
SCORE	04	05	06	07
NO CAND.	3	7	19	54
SCORE	08	09	10	11
NO CAND.	129	200	288	269
SCORE	12	13	14	15
NO CAND.	209	109	27	3

DX H

ITEM		A	B	C	D	E	OMIT
01	HI			7*			
	LO	1		6*	1		
02	HI		3*	4			
	LO	3	1*	4			
03	HI		1		6*		
	LO	5	2	1	*		
04	HI	2			5*		
	LO	1		3	4*		
05	HI			5*	2		
	LO		3	5*			
06	HI		6*	1			
	LO		3*	2	3		
07	HI	5	1*		1		
	LO	4	1*		3		
08	HI	2	1		4*		
	LO	1	3		4*		
09	HI	5	2*				
	LO	5	1*		2		
10	HI	1*		3	3		
	LO	1*	1	3	3		
11	HI	2		1	4*		
	LO	2		4	2*		
12	HI	2	2	2	1*		
	LO	2	2	1	3*		
13	HI	3*		1	4		
	LO	3*			4		
14	HI	4	3	*			
	LO	6	2	*			
15	HI			1*			
	LO		4	4*			

DX H

DEPT OF CIVIL SERVICE
ITEM ANALYSIS
JUNE 21, 1973
SUBTEST NO. 485E1 EXAMINATION NO. P4944 00015 CANDIDATES

ITEM		A	B	C	D	E	OMIT
01	HI	1	2	3*	1		
	LO	1	1	*	6		
02	HI		7*		1		
	LO	2	5*				
03	HI	1*		2	6		
	LO	*			6		
04	HI		1		6*		
	LO			1	7*		
05	HI	6*			1		
	LO	4*	1	1	2		
06	HI				7*		
	LO				8*		
07	HI	1	6*		2		
	LO	1	5*				
08	HI	4*	1	1	1		
	LO	3*		3	2		
09	HI		1	4*	2		
	LO		3	5*			
10	HI				7*		
	LO		1		7*		
11	HI	1	6*	1	1		
	LO	1	5*				
12	HI		1	6*			
	LO		2	6*			
13	HI			7*			
	LO		2	4*	2		
14	HI		1	1			
	LO	5*	1	1	1		
15	HI				7*		
	LO	1	2	1	4*		

DXH

ITEM		A	B	C	D	E	OMIT
01	HI	1			6*		
	LO				8*		
02	HI	5*		1		1	
	LO	*		5	1	2	
03	HI		7*				
	LO	3	5*				
04	HI	1	2*	4			
	LO	3	1*	4			
05	HI				7*		
	LO		1	1	6*		
06	HI	2		2*	2	1	
	LO		1	1*	2	4	
07	HI		4		3*		
	LO	1	1	4	1*	1	
08	HI					7*	
	LO		1	1		6*	
09	HI	4*		1		2	
	LO	5*	2			1	
10	HI	2		2		3*	
	LO	3			1	4*	
11	HI	5*		1		1	
	LO	6*		2			
12	HI		3*		3	1	
	LO	1	4*		3		
13	HI	4*		1		2	
	LO	3*		1	4		
14	HI		2		5*		
	LO	1	4	1	2*		
15	HI	2	4*		1		
	LO	4	1*	1	2		

DXH

ITEM		A	B	C	D	E	OMIT
01	HI			7*			
	LO	4		3*	1		
02	HI		7*				
	LO		7*			1	
03	HI		6*			1	
	LO	4	3*		1		
04	HI					7*	
	LO	2	1			5*	
05	HI	2			3*	2	
	LO	1	5		1*	1	
06	HI	1	4*		2		
	LO		2*	2	4		
07	HI					7*	
	LO			3		5*	
08	HI		1		6*		
	LO	1	4		3*		
09	HI		1	1	5*		
	LO		1	1	6*		
10	HI			7*			
	LO	3	1	4*			
11	HI		4	1	1	1*	
	LO	3	4	1		*	
12	HI		7*				
	LO	3	5*				
13	HI	5*		1		1	
	LO	5*		2		1	
14	HI		2	2*	2	1	
	LO		2	1*	2	3	
15	HI	2	3*	1	1		
	LO	3	1*		1	2	1

DXH

ITEM		A	B	C	D	E	OMIT
01	HI	3		3*	1		
	LO	2	2	4*			
02	HI		1		6*		
	LO	1	1		6*		
03	HI	1	3*	1	2		
	LO	5	1*	1	1		
04	HI		3	1*	3		
	LO		4	*	4		
05	HI	6*	1				
	LO	3*	5				
06	HI				7*		
	LO	1			7*		
07	HI			7*			
	LO		2	4*	2		
08	HI				7*		
	LO				8*		
09	HI		7*				
	LO		6*	1	1		
10	HI		5	2*			
	LO		6	2*			
11	HI	1	5*		1		
	LO	2	3*	1	2		
12	HI			1	6*		
	LO		2	1	5*		
13	HI		6*		1		
	LO		7*		1		
14	HI		2	5*			
	LO			3*			
15	HI	6*			1		
	LO	5*		2	1		

DXH

DEPT OF CIVIL SERVICE
PRELIMINARY SCORES DISTRIBUTION
EXAM NO. P4944 SUBTEST NO. 485C0

PAGE 6
JUN. 21, 1973
NO. OF CANDIDATES 00015

SCORE	00	01	02	03
NO CAND.				
SCORE	04	05	06	07
NO CAND.	2	7	1	
SCORE	08	09	10	11
NO CAND.	2	2	1	
SCORE	12	13	14	15
NO CAND.				

DXH

DEPT OF CIVIL SERVICE
PRELIMINARY SCORES DISTRIBUTION
EXAM NO. P4944 SUBTEST NO. 485E1

JUNE 21, 1973
NO. OF CANDIDATES 00015

78

SCORE	00	01	02	03
NO CAND.				
SCORE	04	05	06	07
NO CAND.			1	2
SCORE	08	09	10	11
NO CAND.		2	4	2
SCORE	12	13	14	15
NO CAND.	2	2		

DEPT OF CIVIL SERVICE
PRELIMINARY SCORES DISTRIBUTION
EXAM NO. P4944 SUBTEST NO. 48582

JUNE 21, 1973
NO. OF CANDIDATES 00015

29

SCORE	00	01	02	03
NO CAND.				
SCORE	04	05	06	07
NO CAND.		2	1	3
SCORE	08	09	10	11
NO CAND.	2	4	2	1
SCORE	12	13	14	15
NO CAND.				

DX H

DEPT OF CIVIL SERVICE — PAGE
PRELIMINARY SCORES DISTRIBUTION — JUNE 21, 197
EXAM NO. P4944 — SUBJECT NO. 485E3 — NO. OF CANDIDATES 000

SCORE	00	01	02	03
NO CAND.			1	
SCORE	04	05	06	07
NO CAND.		1	1	3
SCORE	08	09	10	11
NO CAND.	1	2		4
SCORE	12	13	14	15
NO CAND.	2			

DX H

SCORE	00	01	02	03
NO CAND.				
SCORE	04	05	06	07
NO CAND.				
SCORE	08	09	10	11
NO CAND.	3	5	3	2
SCORE	12	13	14	15
NO CAND.	1	1		

DX #1

DEF. EXH. J-[PART] CIVIL SERVICE DEPARTMENT TEXT FOR TRAINING COURSE IN TEST CONSTRUCTION AND ANALYSIS
Ch. 1-EXAMINATION PLANNING

Ch. 1

EXAMINATION PLANNING

The Civil Service examination is a critical element in selection of employees for a multitude of state and local jobs. It is essential, therefore, that the examination in all its facets contribute to better selection. It is comfortable to feel, perhaps, that we hold examinations because we must, under the law, but the competent personnel specialist must be able to defend his product on stronger grounds than this. Court decisions have stressed the importance of making tests job-related -- this means that we must have logical or empirical evidence to support our tests as relevant to the jobs for which we are selecting. "Face validity" is not enough reason to defend a test as being "job-related." Producing tests that are "job-related," and therefore relevant as selection devices, requires careful planning of the total examination process and adequate analysis of results to determine whether the goals have, in fact, been realized.

I. THE EXAMINATION PLANNING PROCESS

A. The Importance of Examination Planning

The examination plan is the critical step in the entire examination process. A poor examination plan cannot be offset by good tests or good questions within tests. Too often the examination planning step is treated too casually. The effects of haphazard planning, either of the entire examination or of individual tests, all too soon become apparent.

1. A Typist test that included a written to test vocabulary, spelling, and English usage might still miss the boat if it were not supplemented by a performance test in typing.

2. A test for a clerical position that included clerical aptitude, reading comprehension, and office practices might be suitable in some instances but could hardly fill the bill in selecting a clerk who must do calculations. For this job arithmetic would be a critical element in selection.

3. A Medical Illustrator examination that started with a written test covering anatomy and basic illustration techniques might be supplemented by a performance test used to measure artistic skill. If the candidates must pass the written first in order to have their performance test rated, the difficulty of the written and the cut-off point established could have serious implications for the nature of the eligible list. It is quite possible that a written could prove negatively related to the performance test, thus eliminating candidates with the greatest artistic skill.

4. A Senior Stenographer examination might include a performance test rated simply "pass/fail," with ranking on the eligible list determined by the written test. If the passing standard for the performance test were set too low, the eligible list

might include a number of individuals with only minimal stenographic skills and among those highest on the list might be some of the poorest in stenographic skills.

B. The Nature of Examination Planning

The examination planning process, then, involves a great many steps beyond simply deciding on a "scope" of either the written or oral test.

1. Analyzing the duties of the job -- The typical job specification prepared for classification purposes contains too little information on which to base decisions as to the appropriate selection devices to be used. Often such a specification tells what the incumbent must do but not how he must do it. For the testing specialist the "how" is as important as the "what." Finding out how a person does his job -- what actual processes are involved, what sort of direction or control is provided, what pressures are applied, etc. -- is critical to planning an adequate examination.

2. Determining the KSA required on the job -- The detailed job analysis leads directly into a determination of the knowledge, skills, and abilities required in each aspect of the job. In determining the KSA required, the test specialist must be concerned not only with the basic requirements for the job but with the particular knowledge, skills, and abilities which distinguish the fully competent from the mediocre.

3. Choosing the appropriate method for evaluation -- Once the critical KSA have been identified, the next problem the test specialist faces is choosing the measurement devices that will best evaluate candidates' possession of these KSA.

   a. Admission requirements -- "minimum qualifications" -- Although these are often overlooked as one of the evaluation techniques used, the minimum qualifications set for any examination are inevitably the first hurdle candidates must jump in order to be considered for a job. The stringency of the minimum qualifications set for any examination plays a big part in determining the type of competition that will be attracted to the examination. Minimum qualifications also affect the type of measuring instrument that will be applied thereafter. Distinguishing among candidates who have already been partially selected by stiff minimum qualifications is quite different from trying to separate the grossly unqualified from those with reasonable promise; the same test is not likely to meet both needs.

b. Written test -- This is the basic element in any Civil Service selection program because it is the most widely adaptable and most economical means of selection. A determination to use a written test, however, should be based on a conscious decision that the KSA required on the job can best be measured by a written test. Using a written test to evaluate candidates on KSA that cannot be measured by a written test is poor economy. Likewise, using a written test to test only for KSA that are of minor importance on the job is a poor selection technique. The examination plan should provide a good means to measure the KSA critical to job performance.

c. Oral test -- This is the selection technique typically used to evaluate skills in interpersonal relations. Although it can in some instances be used to test also for technical competence, it is a more costly and less dependable measuring device in such situations than is the written test. The decision to use an oral test may also arise out of a need for speed, but again, unless the oral test can effectively measure the critical KSA, savings in time may be poor long-range economy.

d. Performance test -- This is the type of test typically used to measure such characteristics as manual skills, creative abilities, etc., which cannot be measured effectively by either a traditional written or an oral. Typical performance tests include those of typing ability and artistic rendering techniques.

e. Training and experience rating -- This method of evaluation is sometimes applied in instances in which the quality and extent of a candidate's previous training and experience is judged an adequate indicator of his potential for effectiveness on a particular job. Training and experience rating scales must be carefully devised so that scores do not simply correlate with age. The critical decision, however, is that training and experience scores are as good a job performance predictor, or better, than any other measurement device that we might apply.

4. Determining the function of each element in selection -- If we include minimum qualifications as one of the elements in selection, then every examination includes at least two elements -- the minimum qualifications and some other form of test, but the various elements involved in the selection process may have different functions. For each element, then, we must ask certain questions:

a. Will it be a gross screen or a critical part of selection?

If minimum qualifications are broad, they will serve only as a gross screen and the critical selection will inevitably be made on the basis of some other device. On the other hand, if the minimum qualifications are strict, most candidates admitted to the examination will be real competitors -- there will be few who are grossly unqualified. Then, the most critical part of selection may already have taken place by the time the formal test is administered.

b. Will it screen merely to ascertain minimum competence or actually to rank candidates?

One or more tests may be simply qualifying tests -- that is, candidates may be required to pass the test but their final score on that test will not enter into their final score on the total examination. In such cases ranking is made by another test as, for example, when candidates must pass a basic written test but are then ranked on an oral test. A similar situation exists where rankings are based on a written test but candidates must pass a qualifying oral or performance test in order to have their names placed on the eligible list. Even if all the tests given are "weighted" tests, a single test may contribute more to the final ranking. Decisions as to which element should play the most important part in selection and which element should play only a minor role should be made at the start. Juggling the figures after the fact to achieve a different result is a questionable practice and seldom succeeds anyway.

5. Establishing the order in which measuring devices will be applied if more than one is used -- The order in which tests are applied may have a definite effect on the nature of the final eligible list.

a. Most valid first -- We might apply first the test in which we have greatest confidence as a predictor of job success. If we believed that the performance test in typing was the best predictor of job success as a Typist, we might give that first, and subject only the passing candidates to the written test.

b. Most efficient first -- We might apply first the test that is most economical to construct, administer, and rate, or that is most economical on even one of these factors. Using this approach we would probably give the written test for Typist first, rather than the performance test, because the performance test will cost more to administer per candidate.

Unless we can expect a positive relationship between success on the written and success on the performance test, this approach is questionable because it may eliminate from further consideration the best qualified candidates.

c. Most rigorous test first -- If we want to cut down the competition swiftly, we might administer first the test that we expect will eliminate the largest number of candidates. This will leave the fewest possible to be tested on subsequent tests. The judgment as to which test will be most rigorous must be made on an individual basis. Test difficulty and cut-off point, as well as the quality of the competition, are factors in determining which test will prove most rigorous. It should be noted, however, that the most rigorous test may not be the one that we consider the best predictor or the one that will be most economical to give.

d. Most acceptable test first -- Considerations of public relations vs. expediency may lead us to administer first the test that competitors find most acceptable or most job-related. The reasoning here is that candidates who fail on the first hurdle feel cheated if they have not been given a chance to demonstrate their real skills on what they consider the "critical" test. Realistically, the candidate who fails a written test for an artist job, without even trying the performance test, feels that, if he had been given a chance to demonstrate superior art skills, he might have passed the examination on a combined score, or that the cut-off point on the written might have been dropped sufficiently to allow him to pass. This possibility cannot be ignored partly because it may be true and also because public relations is an important element in the effectiveness of a selection program.

5. Resolving questions on relative weight and cut-off points on various tests

a. Relative weight -- Where more than one test will be a part of an examination, the relative weight of tests must be published in the examination announcement. However, the weight as published is only a superficial indication of the actual weight of individual tests. The relative difficulty of the various tests and the spread of scores on each test do more to determine the actual weight of the test than any formula that may be specified in the announcement. In examination planning a decision should be made as to the appropriate weight of the various tests and then efforts should be made to maintain this weight.

b. Cut-off points -- The significance of the cut-off point on successive hurdles has already been alluded to more than once. If the test we consider the best predictor is not the first hurdle, we may want to be more lenient on the first hurdle in order to have our best predictive device used to its greatest advantage. On the other hand, economic considerations may lead us not to be lenient in cut-off points because of the increase in number of candidates to be rated on later hurdles. In facing the pressures of admintrative considerations, the test specialist of integrity must bring psychometric considerations to bear on the final decision.

6. Planning in detail each measuring instrument to be used -- The examination planning step, we have said, is the critical step because mistakes here cannot be offset by careful work later on. Nevertheless, deciding on the best measuring instruments to be used in selection is useless unless those responsible for each measuring instrument take equal care in planning their test in detail. Pulling a few existing multiple-choice tests from the file without real consideration of their appropriateness for the selection task at hand, or hastily assembling some oral test questions without real consideration as to what traits they may be measuring and how relevant the traits are to the selection task at hand can be no substitute for careful and detailed planning.

II. SOURCES OF INFORMATION ABOUT THE JOB

If planning an adequate examination requires careful and intensive study of the job, we should consider the resources available to us in learning about the job.

A. Documents and Records

1. Job specifications -- Although the basic job specification may be of limited use to the test specialist, it is still a starting point in any job analysis for testing purposes. Here we learn how the job was classified and to what salary level it was allocated. The job specification should give us basic information about the duties of the job, the type of supervision received, the extent of responsibility and, for local examinations, someone's estimate of the knowledge, skills, and abilities required. We can often see in the job specification, particularly in a series specification prepared for state use, the relationship of this particular job to others in the same family, and perhaps also the factors that distinguish this job series from another that might appear similar.

2. Classification records -- For state positions, the records available in the Classification and Compensation Division may augment the basic information in the published job specification. Here we may find job descriptions prepared either by the incumbents or by their supervisors. Often these are more specific and detailed than the descriptions published after the sifting process has taken place. In addition, there may be records of negotiations between this department and the agency in which the job exists, which give an idea of the nature of the job.

3. Old examination folders -- Here we may find records of conferences and discussions with the appointing officer about the job when it was studied in preparation for the last examination. Here, also, are records of negotiations concerning examinations, etc., all of which illuminate the nature of the job.

4. Other published documents -- For many jobs there are published documents, such as legislation, agency bulletins, etc., that indicate the thrust of a particular program with which the job is associated. There may also be documents published, not about this particular agency or this particular job, but about an occupational field, which will enlighten the test specialist as to the nature of the work to be performed, the typical working conditions, and the general organization of the occupational field.

B. Personal Contacts Other Than with the Appointing Agency

1. Recruitment or Test Development Bureau -- The test specialist needs to consult routinely with his opposite number in the Recruitment or Test Development Bureau. Each may, through his own contacts and experience, have accumulated knowledge about a particular job or an occupational specialty that would benefit the other. Close cooperation and direct communication are essential for adequate job analysis and examination planning.

2. MSD or Regional Offices -- For local jobs or jobs located at some distance from Albany, information may be sought from MSD field representatives or from Regional Office staff who may have had contact with the agency in which the job exists or who may be able to obtain additional information needed in examination planning. Care in examination planning requires that inadequate job descriptions be clarified and augmented; additional information should be requested without hesitation if it is needed to help in adequate examination planning.

3. State supervising agencies -- Various state agencies have supervisory responsibility for local programs and can contribute useful information about the operation of programs in local agencies. Among such state agencies are the State Education

Department, the Departments of Health and Mental Hygiene, and the Office of Local Government.

4. Experts in the occupational field -- Both within and outside of state service there may be available experts in the occupational field who can provide insight into the job requirements and assistance in planning an adequate testing plan for jobs in that occupational specialty. Some jobs are specific to government, but many exist in private agencies as well as in government service and the field of practice in such cases may be similar.

C. Direct Contact with the Appointing Agency

After the records and documents in existence within this department, the obvious source of information about the job is the appointing agency. Direct contact with the appointing agency should be a part of the examination planning process at least the first time that a major examination series is scheduled. The extent of contact thereafter will depend upon the length of time between examination holdings and the apparent change in the job requirements.

1. Conferences with the agency -- Conferences with agency staff -- those who have supervisory responsibility over a particular job, rather than simply personnel officers -- help to clarify the test specialist's idea of the job duties and responsibilities and the KSA required for competent performance. The conference offers an excellent opportunity for discussion of the field of competition available, the appropriate recruitment approaches, and the selection methods that seem desirable. In such conferences the agency is expected to contribute its expertise on the job and the occupational field, while the test specialists furnish expertise on the most appropriate selection methods.

2. Job audits -- Nothing, of course, can replace a firsthand look at the job, provided the looker is well prepared and knows what he is seeking. The job audit offers the test specialist a chance to see the job in action and to analyze at close range what is necessary for effective performance. Security requirements may prevent following a provisional incumbent around, but supervisory staff may provide valuable information, and the "feel" of the working environment will contribute to the test specialist's understanding. The test specialist who does his homework beforehand, who studies all existing materials before starting out on a job audit and pinpoints the areas he wants to explore directly, will be in the best position to gain from the experience of the job audit.

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III. EVALUATING SOURCES OF INFORMATION

Each source of information may contribute something of unique value for test planning purposes. Each has advantages and disadvantages and the skillful test specialist will need to balance information obtained from different sources in order to arrive at an accurate and realistic basis for examination planning.

A. Documents and Records

Most documents and records available to the test specialist tend to be general guidelines only and are not specific enough for test planning. Their value is as a starting point to stimulate thinking and suggest areas for further exploration. Some documents are prepared for other purposes which may affect their content. For example, presentations by an appointing agency for purposes of job classification or salary allocation may be inflated; the test specialist will have to puncture the balloon before using its contents for test planning. The content of any document may vary according to the individual writer, and any written description must be checked for individual bias and evaluated in the light of other available information.

b. Personal Contacts Other Than with Appointing Agencies

The value of such contacts depends upon the expert's knowledge of this particular job in state service and the similarity of this job to others with which he is familiar. The test specialist must have enough background to ask the right questions to get the information he needs. He must have enough background to evaluate this information for its relevance to the selection problem at hand.

C. Direct Contact with the Agency

The test specialist who is seeking information for examination planning from the agency must be well prepared to know what to look for in a job audit and what to ask, either in a job audit or in a conference. He must be sure that he obtains information from others besides personnel officers. He must be sure that the persons he interviews or observes are well informed about the job and that the particular job location he visits is representative of others that may exist in the same and other agencies. This may be particularly important in the case of an institution job where different institutions may vary considerably.

IV. RELATING THE JOB INFORMATION TO EXAMINATION PLANNING

Once the relevant job information has been obtained, it must be sifted, analyzed, and related to the examination planning task. The test specialist will have to apply his own knowledge and ability to the information at hand in order to develop a picture of the job and devise the selection instruments he proposes to use. In analyzing the data he must ask many questions.

A. Duties

1. What image of the job emerges from the assembled data? What will the incumbent do? With what type of supervision or what degree of independence?

2. Will the incumbent supervise? If so, how many, what kinds of people, and how directly?

3. Is this an administrative position? At what level?

4. Is this a clerical position, despite its fancy title?

5. How stable is the job? Will the duties be similar next year? Some jobs change markedly within a few months time and a selection program based on immediate requirements may fail to predict long-range success.

B. Salary and Minimum Qualifications

1. How well do they seem to relate to the duties and to each other?

2. If the salary level is out of line with either the duties or the minimum qualifications, what does this tell us about the size and type of competition to be expected? What effect would such a disparity have on examination planning?

C. KSA

1. If the required KSA are stated, as in local specifications, how reasonable do they seem? Do they square with the test specialist's perception, based on his analysis of the duties and job requirements?

2. What KSA seem to be required to start the job, not to perform at the level of a 3-year provisional?

3. Which of the required KSA can be tested for? By what types of test?

4. How should the KSA be ranked as to their importance for satisfactory job performance?

5. What effect does the breadth of the minimum qualifications have on the KSA that should be tested for in the examination?

D. Conflicting Information

1. What are the discrepancies between the job specification and other sources of information, and between different sources? Do these represent real conflicts in viewpoint or simply shifts in focus, as in the case of one presentation prepared for a salary setting and another prepared for other purposes?

2. If different agencies are involved and they differ on their view of the job, or if personnel within a single agency have different perceptions of the job, what is the role of the test specialist?

E. Other Problems

The test planner must often read between the lines of the material he acquires and make a judgment as to what his sources of information are really saying.

1. "The incumbent must be able to prepare reports." The test specialist must ask what kind of reports, what verbal skills such reports require, and what other abilities that may not be readily apparent.

2. "Candidates must be able to read well." The test planner may reasonably ask himself, "How well?" If a written test is to be given, will that suffice as a measure of reading comprehension without any specific reading comprehension subtest?

3. "Very important public relations job" How -- as a receptionist on the front desk? Will any test determine more than whether the candidate knows the principles? How can we tell whether the candidate will apply these principles? Will an oral test get at the required KSA better than a written, or are we seeking an intangible quality that no measure at our disposal can adequately evaluate? How does the level of the job affect the test specialist's decision on the type of measuring instrument?

4. "Incumbents must know the law. This is very important." What will we measure with a test on the law? Only the ability to cram? Will candidates differ in their knowledge of a law, especially if all are promotion and law is included in the scope of the written test? Is it really essential that they know the law, or must they know enough to look up the answers?

5. "The incumbent needs an extensive knowledge of _____." The test specialist might well ask, "When -- when the candidate starts on the job or after he has been trained?" Do minimum qualifications indicate that candidates will have been exposed to this area? Will the better candidates really have a greater knowledge of this area or is this something that they should gain on the job?

V. DESIGNING THE TEST

After all the relevant information has been obtained and analyzed, the test specialist faces the task of designing a test on the basis of his understanding of the job and its requirements. The procedure may be summarized as follows:

A. Review Job Specifications and Other Pertinent Data, Trying To Pinpoint Critical KSA.

B. Check Previous Results.

1. Distribution memorandum -- Was the previous list adequate? How steep a conversion was necessary?

2. Item analysis and score distribution -- What subtests worked best? Worst? If more than one test was held (e.g., both written and oral), how did each work and how did they work as a combination?

3. Appeals records and other candidate feedback, if any -- What do they show about candidate acceptance of the test?

4. Feedback from appointing agency, if any -- How well did the resulting eligible list meet the appointing agency's needs?

C. Consider the Implications of Information Obtained from Conferences, Job Audit, etc.

D. Develop a Tentative Test Plan.

1. How many different tests and what kind?

2. What relative weight for each test?

3. What KSA are to be measured by each test or subtest?

4. What kinds of questions should be used in each test or subtest to measure the particular KSA?

Note that the same rubric might be included in the scope for several levels, although different questions might be used for each level.

E. Consider What Examinations Should Be Fitted into the Same Package and Which Must Be Held Separately.

F. Review Resources for Testing and Arrange for the Materials Needed.

1. Files -- subtests, old questions, and raw materials.
2. Other sections.
3. Outside examiners.
4. Self -- get references.

DEF. EXH. J-[PART] CIVIL SERVICE DEPARTMENT TEXT FOR TRAINING COURSE IN TEST CONSTRUCTION AND ANALYSIS Ch. 2-EVALUATING THE TEST ITEM: BASIC CONCEPTS OF ITEM ANALYSIS

ch 2

EVALUATING THE TEST ITEM -- BASIC CONCEPTS OF ITEM ANALYSIS

We have discussed examination planning in some detail. Now we must give closer attention to written tests, which are our primary responsibility. The core of the written test, of course, is the test item. Several sessions in the introductory training course deal with how to write good test items and how to improve those that aren't so good. But first we have to learn what a good test item is and how to recognize it when we find it.

I. ANALYSIS OF THE TEST ITEM

A. Function of the Test Item

Generally the function of a multiple-choice test item is not just to determine whether the candidate can answer that particular question correctly. In the Civil Service testing situation, remotely we want to be able to say that the person who answers the item correctly is more likely to be successful on a job than one who does not answer it correctly. More immediately we want to be able to say that the candidate who answers the item correctly has more of a given knowledge, skill, or ability than someone who cannot answer it correctly. This particular knowledge, skill, or ability we are trying to test for we shall, from here on, call a trait.

B. Item Analysis

There are a number of approaches to finding out whether a test item is serving this purpose, but our first and most basic tool is item analysis. This is a general term for a variety of statistical methods of evaluating items. It generally involves a tabular presentation of the way candidates answered a given item -- which response was chosen by how many candidates.

One of the more common types of item analysis is the so-called hi-lo item analysis. In this type of item analysis candidates are first sorted into high and low groups according to some standard which we will call the criterion.

1. External criterion -- We might sort candidates on their job performance, if we had this information, into a high group of those who do well and a low group of those who do not do so well. We could then see whether those who do well on the job are more likely to answer our item correctly than those who do poorly on the job. In such a process we are using job performance as the criterion, or standard, against which we measure our item. We call such a criterion an external criterion because it is a standard outside the test itself and measured independently from the test.

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2. Internal criterion -- The criterion you are most familiar with is the subtest score, which is the criterion used to select candidates for our usual computer-run item analysis. When we look at such an item analysis, we can see whether candidates who scored high on the entire subtest were more likely to answer a particular item correctly than those who scored low on the subtest. We call such a criterion an internal criterion, because it is obtained from the test itself. A little later we will talk more about just what value an internal criterion has in evaluating how our test item performed as part of a subtest or test.

We want to look now at the things we can learn from item analysis that will help us decide whether our item is a good item or a poor item.

II. ITEM DIFFICULTY

If we add up the number of candidates answering an item correctly and divide by the total number of candidates, we obtain the item difficulty or the mean of the item. The item difficulty is stated as a decimal (e.g., .65) or sometimes a percent (e.g., 65%). Note that this figure represents the proportion of candidates who answered the item correctly. Therefore, the larger the figure the larger the proportion of candidates answering correctly and, we might say, the easier the item.

III. ITEM DISCRIMINATION

A. The Meaning of Discrimination

The term discrimination may be used in different ways.

1. Most often we use it to describe a situation in which there is a difference between the proportion of high-scoring and the proportion of low-scoring candidates choosing a particular answer -- the key answer.

   a. In a positively discriminating item more high than low-scoring candidates choose the key answer.

   b. In a negatively discriminating item it is just the reverse -- more low than high-scoring candidates choose the key answer.

2. We also sometimes use the term discrimination in a broader sense.

   a. Each item sorts candidates into two groups -- those who answer the item correctly and those who do not. This

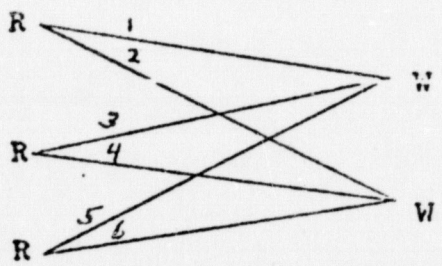
sorting out of candidates is sometimes called discrimination because the item makes discriminations among candidates. This ability of an item to make discrimination is one point of departure for evaluating the effectiveness of the item.

b. Every time an item distinguishes one candidate from another we say that it makes a discrimination. If one candidate gets an item right and another candidate gets the item wrong, the item has distinguished between the two candidates and made one discrimination. If both candidates get the item right or both get it wrong, then the item has not distinguished between the candidates and has made no discrimination. This may be clearer if we show it graphically.

B. Graphic Representation of Item Discrimination

1. (Example)

Item X. difficulty = .60
3 of 5 candidates answered correctly



3(right) x 2(wrong) = 6(discriminations)

In Item X three candidates answered correctly and two candidates answered incorrectly. The first candidate who answered right (R) is distinguished from each of the two who answered wrong (W) for a total of two discriminations. The lines show the discriminations. The same is true for the other two candidates who answered right. The lines also show the discriminations for these candidates. There are six lines, representing a total of six discriminations.

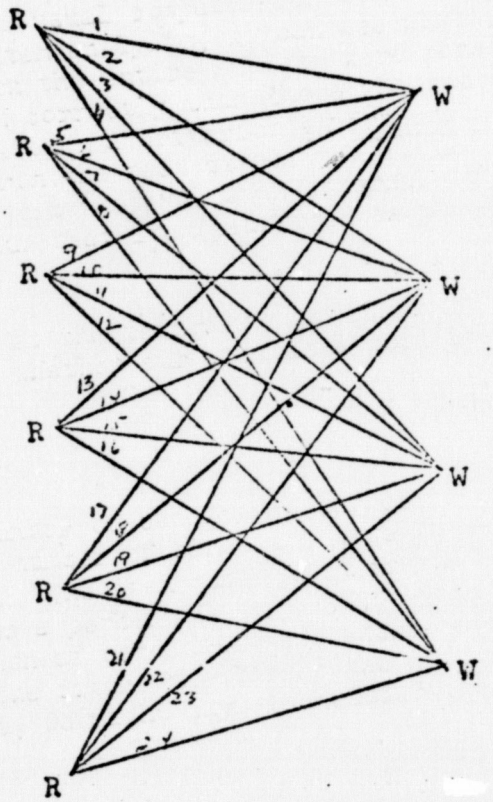
Note that there are no lines between any of the R's or any of the W's because an item does not distinguish between two people who get it right or wrong and therefore no discriminations are made.

From this graphic approach we can count the lines and determine that this item makes six discriminations. We can also reason that each of the three candidates answering correctly is distinguished from each of the two answering incorrectly for a total of 3 x 2 = 6 discriminations. The second approach is much more efficient as we can see from Item Y.

2. (Example)

Item Y. difficulty = .60

6 of 10 candidates answered correctly



6(right) x 4(wrong) = 24(discriminations)

Using the graphic approach we can draw the 24 lines involved in the discriminations made by this item or we can say that 6 right x 4 wrong = 24 discriminations. As you can see, the graphic approach quickly becomes cumbersome to use as the number of candidates grows. However, as long as we understand the rationale behind multiplying the number answering correctly times the number answering incorrectly, then computing the number of discriminations is relatively simple.

C. Item Discrimination Related to Item Difficulty

If we look at a number of items with varying levels of difficulty, we can see that the number of discriminations made by an item depends upon the difficulty of the item, or, as we usually say, the number of discriminations is a function of item difficulty.

(Example)

Difficulty	Number of Discriminations (for N = 100)
1.00	100 x 0 = 0
.90	90 x 10 = 900
.80	80 x 20 = 1600
.70	70 x 30 = 2100
.60	60 x 40 = 2400
.50	50 x 50 = 2500

1. Note that the item which 50 get right and 50 get wrong makes 2500 discriminations, the highest of all those shown. We can say, then, that an item of 50% difficulty makes the maximum possible number of discriminations.

2. What happens to the number of discriminations as the item becomes even more difficult -- e.g., .40, .30, .20, .10? You can see that the number of discriminations that the item can make is reduced either side of the 50% level of difficulty.

IV. ITEM VARIANCE

A. Let's look at another example which illustrates a problem we may encounter in comparing items with respect to their discriminative power.

Item 1. 100 candidates diff. = .60
No. of discriminations = 60 x 40 = 2400

Item 2. 200 candidates diff. = .60
No. of discriminations = 120 x 80 - 9600

Is item 2 four times as good as item 1 in discriminating among candidates? Obviously not -- the items are of the same difficulty, but one was answered by more candidates. We can see that we can compare items directly with respect to the number of discriminations they make only if the same number of candidates answered each item.

B. We overcome this difficulty by comparing not the number of discriminations but a figure based on the proportion of candidates who answer correctly and the proportion who do not. For example, in either of the 60% items we mentioned, the proportion answering correctly is .60, and the proportion answering incorrectly is .40. If we multiply .60 x .40, we get .24. We have eliminated the effect of the number of candidates.

C. We call this number, .24, the item variance. The notation we use in computing it is:

item variance = pq

p = proportion of candidates answering correctly

q = proportion of candidates answering incorrectly

Note that q = 1 - p

Variance is a technical term that you may already have met elsewhere and that we will discuss in much greater detail later in this course.

D. If we look again at our items on which we computed the number of discriminations, we can now apply the variance approach. These are the results:

Difficulty	No. of Discriminations (N=100)	p	q	pq
1.00	100 x 0 = 00	1.00	.00	.00
.90	90 x 10 = 900	.90	.10	.09
.80	80 x 20 = 1600	.80	.20	.16
.70	70 x 30 = 2100	.70	.30	.21
.60	60 x 40 = 2400	.60	.40	.24
.50.	50 x 50 = 2500	.50	.50	.25

V. ITEM DIFFICULTY AND DISCRIMINATION AS RELATED TO CANDIDATE GROUP

A. We described the discrimination of an item as a function of its difficulty, but the difficulty, and so in turn the discrimination, depends upon the candidate group.

1. If the candidate group is homogeneous with respect to the trait measured by a particular item, the item will not discriminate because it cannot reveal differences that do not exist; any apparent discriminations the item makes will be the result of chance errors.

2. In this case either all candidates will get the item right and the item will make no discriminations, or the candidates' responses will be the result of a guessing game, and any discriminations the item appears to make will be the result of chance or some irrelevant skill such as "test-wiseness."

B. Because items can discriminate only when candidates are heterogeneous with respect to the trait measured by the item, it follows that, as the candidate group grows more homogeneous, it is harder to find items that will make discriminations among the candidates and still measure the trait we hope to measure.

1. In an examination that is open to candidates with diverse backgrounds -- e.g., an entrance-level examination requiring only college graduation -- items tend to discriminate well.

2. In a promotion examination open only to those in the direct promotion line, items that might be useful with a more diversified group may not discriminate.

C. In evaluating items for their discriminative power, we must keep in mind the characteristics of the candidate group in which the items do discriminate; it may be risky to predict what the items will do elsewhere.

VI. ITEM-CRITERION RELATIONSHIP

A. Generally we are not interested just in the ability of an item to make discriminations but in the kind of discriminations it makes and how it discriminates as compared to the criterion.

1. If we compare the item with job performance as the criterion, we want to know that those who get the item right are also, in general, those who do well on the job, and that those who get the item wrong are generally those who do poorly on the job. In this case we would be using job performance as an external criterion, or standard, of our test item.

2. In the same way, when we use subtest scores as the criterion for dividing the candidate group into a high and a low group, we want to know that those in the high-scoring group are more likely to answer our item correctly than those in the low-scoring group.

3. This is not to suggest that the subtest score is a close substitute for job performance. Remember that we spoke of the subtest score as an internal criterion. When we use such an internal criterion, all we are getting is an indication of whether each item is measuring the same thing as the total subtest.

4. Usually when we use the terms discriminating and discrimination to describe an item, we mean criterion-related discrimination of this kind, rather than the number of raw discriminations we discussed before. In most cases we measure our item against an internal criterion and our subtest against an external criterion.

B. Our concern with having the item vary, or discriminate, in the same direction as the subtest arises from the fact that we are using the subtest as a measure of a trait. Every item that varies with the total subtest contributes to measurement of that trait; an item that varies in the opposite direction weakens the subtest as a measure of the trait -- we say that such an item discriminates negatively.

1. If the item varies with the subtest, the item can be said to have positive item-subtest correlation.

2. If two items individually vary as the total subtest varies, there is generally also positive correlation between the two items -- i.e., the two items vary together in a similar way. /Correlation is a technical term that we use to describe a relationship. We will be talking more about correlation later in this course./

   a. In this situation a candidate who answers the first item correctly is more likely to answer the second item correctly than is the candidate who missed the first item. This does not necessarily mean that one item is dependent on the other.

   b. In evaluating items then, we are concerned with how we can evaluate the degree of item-subtest relationship. When we use certain statistics, such as the iri, to measure item discrimination, we are really measuring this item-subtest relationship, or item-subtest correlation.

VII. MEASURES OF ITEM-SUBTEST CORRELATION

A. There are a number of measures of item-subtest correlation -- perhaps four in common use that we will look at a little later in the course. For the present we will discuss only the measure that is most familiar to most of us -- the item reliability index (iri).

B. The iri is based on the correlation of the subtest and the item, computed from the high-low split on subtest scores. Generally, we do not actually compute the iri; instead we use a shortcut to estimate it. The formula we use to estimate the iri is:

$$\text{iri} = \frac{1.253}{N}(R_H - R_L)$$

R_H = No. of candidates answering correctly in the high group
R_L = No. of candidates answering correctly in the low group
N = Total number of candidates

The quantity $\frac{1.253}{N}$ may be calculated once and entered as a constant for calculations for the entire subtest.

C. The iri is unique in that the sum of the individual item iri's is equal to the standard deviation of the subtest. The standard deviation of the subtest is a measure of the dispersion, or spread, of the subtest scores; this topic will be explored in greater detail a little later. Here we must note that, if we use the iri formula as a shortcut to estimate the iri, obviously the value of the standard deviation we get from adding the iri's will also be an estimate.

D. Some caution should be taken in making judgments about items on the basis of iri's computed on the basis of small samples. Like other statistics, the iri tends to be less reliable when computed on small samples. We shall see some of the reasons for this shortly, when we see how an item analysis is constructed.

VIII. THE CONSTRUCTION OF AN ITEM ANALYSIS

A. Procedure

To help us understand item analysis and the iri better let's see just how we would go about making an item analysis.

1. The first step in any item analysis procedure is to score the papers and arrange them in some order, such as from high to low score on the subtest being analyzed.

2. We can display, for each paper, the responses of the candidate to each item. This type of display is called an item response matrix. In our sample item response matrix only wrong responses are shown; rights show as blank spaces. For our convenience we have shown the intended key answer above each item number. This type of matrix can also be obtained from our computer. A sample item response matrix is shown on page 10.

3. Now we can divide the papers into some fixed number of groups. We could do this by cutting our stack of papers at the median, forming a high-scoring and a low-scoring group.

4. If there is an odd number of papers, the middle paper may be dropped out to leave an even number in the high and low groups. At present our computer is programmed to put the extra paper in the low group. (This gives us a built-in bias against getting a favorable item discrimination.)

5. If we now count, for each item, the number of candidates choosing each alternative -- first in the high group and then in the low group -- we get the typical item analysis pattern with which you are familiar.

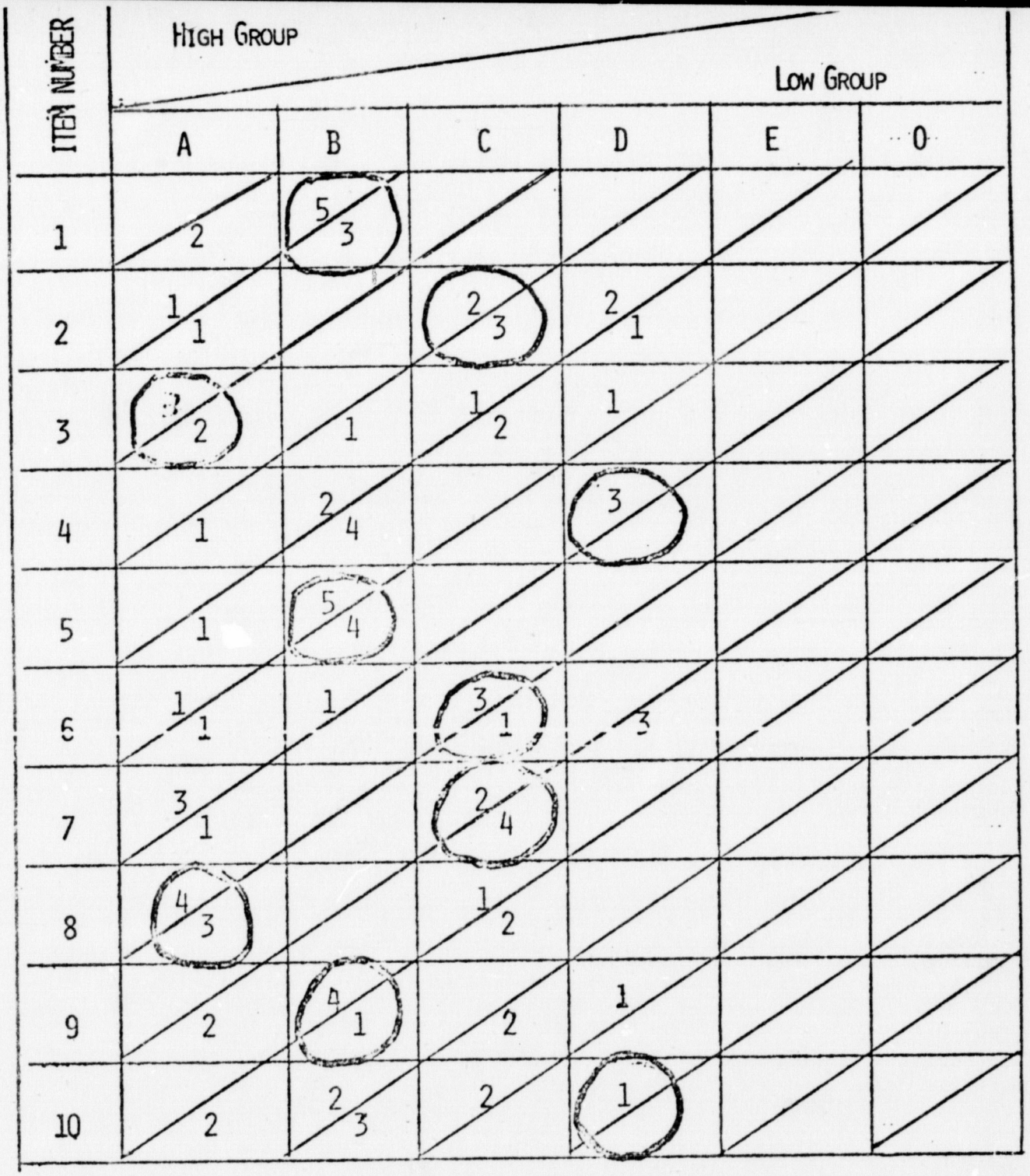
6. We see that we have converted our item response matrix into an item analysis. This is shown on page 11.

   a. We convert the item response matrix into an item analysis because the data are more readily reviewed in this form and because, especially for large competitions, the data are now in a form that is easier to handle.

   b. In so doing we lose some information because we can no longer see how each candidate responded to each question. Thus, if only the very top candidate answered question 10 correctly, we cannot tell from the I.A.

ITEM RESPONSE MATRIX

ANDIDATE	KEY	B	C	A	D	B	C	C	A	B	D
	ITEM / SCORE	1	2	3	4	5	6	7	8	9	10
AM	9							A			
EAN	7		D					A			C
OM	6		D	C				A			B
AT	5			D	B		A		C		C
ARIE	5		A		B		B			D	B
CARL	5		D	C	B				C		B
BOB	5			B	B		D			C	A
.UTH	5				B		D		C	A	B
MIKE	4	A		C	B		D			C	B
BILL	2	A	A		A	A	A	A		A	A


ITEM NUMBER
HIGH GROUP
LOW GROUP
A
B
C
D
E
O
1
2
5
3
2
1
1
1
2
3
2
1
3
2
1
1
2
1
1
2
4
3
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5
4
1
1
1
1
3
3
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4
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2
3
2
1

B. Item Analysis vs. Item Response Matrix

Let's take a closer look at this item analysis and compare it with the item response matrix from which it came.

1. The item analysis for item 10 looks like this:

	A	B	C	(D)
Hi		2	2	1
Lo	2	3		

You would immediately question this item because of the pile-up on choice B and the extreme difficulty of the item. But let's look at raw data from which the item analysis came.

2. The item response matrix for this item looks like this:

Candidate	Score	Item 10
Sam	9	D (Key)
Jean	7	C
Tom	6	B
Pat	5	C
Marie	5	B
Carl	5	B
Bob	5	A
Ruth	5	B
Mike	4	B
Bill	2	A

By looking at the item response matrix we can see that only the top candidate answered this question correctly. If the item is keyed correctly and only one choice is defensible, we may infer that choice C is attractive to candidates who are superior but not outstanding in the trait measured by the subtest. Choice B is attractive to less able candidates, and choice A appeals more to the lowest candidates.

This type of information we cannot get from a routine high-low I.A. It may be possible, however, to get similar information on items that behave this way by cutting the papers into more than two groups. This is a possible approach when the group is so large that an item response matrix would be cumbersome.

C. Effects of Random Sort

Another point we should look at in this particular item analysis is the pile-up of scores at the median score of 5. When we dealt with these 5 papers at the median score, we assigned two of them, chosen at random, to the high group, and the remaining three to the low group.

Let's interchange Pat's paper at score 5 with Bob's paper, which is also at score 5, and see how our item analysis would change.

Now it looks like this:

	A	B	C	(D)
Hi	1	2	1	1
Lo	1	3	1	

From this I.A. we might not be so ready to infer that choice C was attractive only to more able candidates and choice A to less able candidates.

This small-scale example shows why, on successive computer runs, there may be minor shifts in the pattern of responses even though the number of candidates remains the same. The extent of these shifts depends upon the number of papers at the median.

D. Other Types of Item Analysis

Up to this point we have been looking at the traditional Hi-Lo item analysis. However, as we mentioned, there is no requirement that the responses be divided into halves for tabulation. The information presented in the item analysis varies, depending upon the manner in which the responses are tabulated. Suppose we take a look at one column of 20 responses in an item response matrix and see what information is presented in different tabulations of the responses.

1. The simplest tabulation would be to organize responses by choice without regard to performance on the subtest.

(Example)	(A)	B	C	D
	7	4	5	4

From this item analysis we can tell that the item was difficult (.35) and that the key answer was the most popular of the choices.

2. Another form of tabulation is the standard Hi-Lo you are used to. What additional information is available from this tabulation?

(Example)

(A)	B	C	D
6	3	1	
1	1	4	4

Here we can see that

a. the key discriminates

b. C and D work well

c. B is an inversion

3. Instead of sorting scores into the top and bottom halves we can break the item analysis down finer and tabulate responses on the basis of quarters. Can we draw any further inferences from this item analysis?

(Example)

(A)	B	C	D
4	1		
2	2	1	
1	1	2	1
		2	3

Now we can see that

a. the key discriminates throughout

b. C and D still look good

c. B is not so attractive in the highest group -- it looks like a useful distractor.

4. As an extension of this quartile I.A. we can tabulate scores on the basis of fifths.

(Example)

(A)	B	C	D
4			
2	1	1	
	3	1	
1		2	1
		1	3

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Here choice B looks even better. We can now see that each of the distractors is useful at a different point in the distribution

5. If we look at the last two item analyses we can see that there is some ambiguity in the middle zones. This becomes more apparent if we look at the scores in the item response matrix. Candidates ranked 7-14 are separated by only one point. There is some question as to the value of the information contained in the middle scores. For this reason some authorities advocate using only the top and bottom 27% of the candidates in the item analysis. Deviations showing how the figure 27% was arrived at are available, but the main point here is that this form of tabulation eliminates the middle scores where median split, etc., can distort the I.A. Using this approach, our item would look like this:

(Example)	(A)	B	C	D
	4	1	1	
			2	4

IX. EVALUATING ITEMS THROUGH ITEM ANALYSIS

A. Summary

We now know how an item analysis is generated and how it relates to subtest scores. We have noted that, when more people who do well on the subtest get the item right, the item is "discriminating." We have seen how many cases scoring at the median may affect the "discrimination."

We have also looked at item difficulty. We have related item difficulty to the number of discriminations an item makes, we have developed a concept of item variance and related it to difficulty, and we have discussed item variance as an indicator of the discriminating power of an item.

B. Comparison Between Types of Discrimination

Let's make sure that no confusion has arisen from the discussion of the two types of discrimination.

1. The number of discriminations an item makes limits the item's discrimination on a "Hi-Lo" basis.

2. A substantial number of discriminations is necessary but <u>not sufficient</u> for Hi-Lo discrimination.

The following three items will illustrate this point:

(Examples)

		A	(B)	C	D		Number of Discriminations (N = 100)	Discrimination (iri)
I.	50	12	28	6	4			
	50	15	22	8	5	p = 0.50	2500	.08
II.		A	B	C	(D)			
	50			2	48			
	50	1	2	25	22	p = 0.70	2100	.38
III.		A	B	(C)	D			
	50			50				
	50	5	3	40	2	p = 0.90	900	.12

C. Evaluation

How many discriminations does each of these items make? In terms of iri what is the discrimination of each item?

1. We can see that item I makes the maximum number of discriminations but is relatively ineffective in distinguishing the better from the poorer candidates on the trait measured by the subtest.

2. Item II is easier and makes fewer discriminations but is very effective in distinguishing better from poorer candidates.

3. Item III is very easy and makes relatively few discriminations. Here the small number of discriminations becomes a limiting factor on the item effectiveness in distinguishing better from poorer candidates. Even though the key attracted the maximum number of Hi group candidates and the minimum number of Lo group candidates (for a .90 item) the iri is only .12.

D. Using the Data

Let's assume that these three items come from a 15-item subtest that is essentially homogeneous -- that is, it measures only one trait. Even though we know nothing about the subject matter content of the item, what action might we consider taking on each of these items using only the item analysis as our criterion?

		Suggestion	Evaluation
1. Item I.	a.	Discard as measuring something else	Maybe--especially if item has a similar past history
	b.	Retain as is	OK if you get a different median split
	c.	Revise item to change tone	OK if candidates are answering on wrong criteris
2. Item II.	a.	Leave as is	Yes--it works
	b.	Revise choice C	Why?--discrimination on the key is what counts
3. Item III.	a.	Replace with harder item	OK if there is a large pool of items to choose from
	b.	Revise item to make harder	OK if the concept tested is vital

X. SOME PROBLEMS IN EVALUATING ITEM ANALYSIS

A. Small Groups

As we saw in the preceding examples, in a conventional high-low item analysis, if there is a pile-up of cases at the median, random sort of these papers may vary the pattern of I.A. Therefore, statistical calculations based on small samples are unreliable and judgments made about items on the basis of small samples are risky.

B. Too Easy Items

As we can see by examining the item analysis or the item response matrix, an item that is too easy either makes no discriminations or serves only to sort out a few very poor candidates at the bottom of the group. As a rule we don't really care about ranking candidates at the bottom of the group; our concern is with separating those toward the top. Therefore, a too-easy item is not especially helpful to us in our subtest.

C. Too Difficult Items

As we saw in the preceding example, an item may be working well in sorting out the very top candidates and may be exceptionally valuable when we are trying to select only the top 10 or 20% of the candidates.

Examination of a subdivided item analysis or an item response matrix helps us to decide whether our "too difficult" item is this kind or is really so difficult that all candidates are guessing. The latter kind of item we would want to eliminate because it does not contribute to accurate measurement of the trait we are trying to measure.

D. Defective or Miskeyed Items

These can also affect the statistics by affecting the criterion. If we have several key changes, a number of scores might move from the low to high group and vice versa, thus altering the I.A.

E. Defective Criterion

We can reasonably expect correlation between an item and the subtest only if the item is measuring the same trait as is measured by the subtest as a whole.

1. If one item is out of tune with the rest of the subtest in that it is not measuring the same trait, this item may not look good in the analysis even though it might be a good item in itself.

2. If our subtest content is not fairly homogeneous, there may be two or more distinct traits measured and the criterion (subtest scores) will not be a meaningful way to divide papers into high and low groups. Later in our course we will look at some subtest figures that may suggest that such a factor is operating.

XI. THE SUBTEST AS A CRITERION

A. Effectiveness of Subtest as a Criterion for I.A.

If we are to rely on our item analysis as an indicator of the effectiveness of individual items, we must also be able to rely on the subtest we are using as a criterion -- that is, we must have confidence in our subtest as a measure of the trait we are trying to measure.

1. It is possible to have most of the items in a subtest discriminating well and still not have a subtest that is measuring the trait we want to measure. In this case the items do work together, but the discrimination they show is based on some other trait -- e.g., language skills, rather than subject matter knowledge.

2. It is possible to find one or two items in a subtest that seem "out of tune" with the rest of the subtest -- they do not discriminate well. Before jumping to the conclusion that these items are defective, we should be reasonably sure that the subtest, on which the high-low split was based, is a good measure of the

trait we are trying to measure. It is conceivable, though perhaps unlikely, that the two items we find "poor" are actually the best for measuring the trait in question.

(Examples)

I. Suppose we have a subtest on economics in which most of the items discriminate well, but two do not. We might look closely at these two items to try to determine how they differ from the other items. Suppose we find that they are much more directly stated, much easier to understand -- quite apart from the economic knowledge required to answer them. We might conclude that the other items require not just economic knowledge but good reading ability. The two items under question may be as good measures of economic knowledge, but do not require the same reading ability; hence, they do not discriminate in the same way as the other items. Since there are 13 items with the language component, they determine the high-low split and thus form the basis for our criterion.

II. We can use the same economics subtest and administer it to two different groups:

(a) entrance-level college graduates with widely divergent academic backgrounds

(b) promotion for Associate Economists with a minimum of four years experience

Because the first group is so heterogeneous in terms of knowledge of economics, it is likely that the subtest will differentiate among the candidates on this basis. However, the second group is homogeneous and each candidate knows economics equally well. In this situation the same economics subtest might differentiate among candidates on the basis of their ability to cope with the verbal complexities in the items. Here the same subtest can differentiate on quite different bases when given to two different groups.

B. Evaluating the Subtest as a Measure of a Trait

How can we determine whether our subtest is a good measure of the trait we want to measure?

1. Inspection of content

a. We might look closely at the content of the items in the subtest, as we did with the economics subtest, trying to infer what they really do measure.

b. We should look especially closely at the items that show greatest discrimination, for they are the ones that largely determine the high-low split. What they measure is a good indication of what the subtest measures.

2. Comparison with other subtests

a. We might compare the ranking of candidates on this subtest with the ranking on other subtests. Subtests that rank candidates about the same may be measuring some of the same traits. This is a good approach especially if we suspect that verbal ability is contributing to one subtest and we have a reading comprehension subtest available for comparison.

b. We might compare the subtest with others that we have used more extensively to see if the content and approach are similar and if statistics seem similar. If any older items are used in conjunction with new subtest material, we might have evidence for our judgment.

3. Review by subject-matter specialists

We may invite opinions of appointing agency personnel or other subject-matter specialists as to the coverage and appropriateness of the subtest. While this method may yield only superficial data, it provides one more basis for evaluating our subtest.

C. We now should have some idea of how to use item analysis to evaluate our items. In the next three sessions we will take a close look at a variety of multiple-choice items. We'll try to find out what they're measuring, where they may be defective, and how they can be improved. As we look at the items, we'll also look at item analysis to see how it points up item defects and provides a guide for revising items.

ch 8

THE TEST AS A PREDICTOR

I. THE CONCEPT OF VALIDITY

The term "validity" refers not so much to a single concept as to a family of concepts, all concerned with some aspect of what the test measures and how well it measures it. We generally speak of a test as valid if it measures what we hope to measure with it, that is, if variance in the test is associated with variance in the trait we are trying to measure. Once we have eliminated from total variance in test scores the unreliable or error variance, what remains may be called "true variance." The validity of the test refers to the proportion of this true variance that is relevant to the purpose of testing, whether that purpose be measurement of improvement in typing speed as the result of a training course or prediction of success as a Personnel Examiner.

II. TYPES OF VALIDITY

The American Psychological Association Standards for Educational and Psychological Tests and Manuals (1966) classifies validity as "criterion-related," "content," and "construct." We will look at each of these classifications briefly and consider their implications for the problem of testing validation.

A. Criterion related Validity

This concept is concerned with the relationship between test scores and some external criterion of what the test attempts to measure such as success on a particular job. The criterion-related validity of a test is expressed as a correlation between the test and some external measure known as the criterion. There are two different types of criterion-related validity, depending upon when the criterion measure is obtained.

1. Predictive validity -- This is the relationship between test scores and some future measure of performance or behavior. For example, we may consider as predictive validity the correlation between scores on a selection test and performance on the job for which we are using the test as the selection device. A test has predictive validity to the extent that variance in test scores is associated with variance in some measure of job performance obtained later.

2. Concurrent validity -- This is the relationship between test scores and some external criterion obtained at the same time that the test is used. For example, we might consider as concurrent validity the correlation between test scores and some measure of present job competence (as opposed to future job performance with which we were concerned with predictive validity). A test has concurrent validity to the extent that variance in the test scores is associated with variance on a current measure of job performance.

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B. Content Validity

This concept is concerned with the adequacy of sampling in a test. A test may be said to have content validity to the extent that the test tasks are representative of all the possible tasks that could have been included as a measure of the trait.

1. The content validity of a test must be determined by judgment; it cannot be investigated readily through correlation techniques such as those used to determine criterion-related validity. Determining the content validity of a test involves careful and in-depth analysis of the content areas sampled by the test. It includes identification of the subject-matter areas sampled and the particular skills or abilities sampled in connection with the subject-matter areas. The test is then judged as to how well it samples the various aspects of the particular content area. This type of validity is extremely dependent on careful and detailed job analysis.

2. Content validity does not necessarily have any relationship to criterion-related validity. The fact that a test is representative of various possible measures of the trait does not mean that it necessarily predicts job performance.

C. Construct Validity

The trait that a test is designed to measure may be spoken of as a "construct." Construct validity, then, is concerned with what the test actually measures as opposed to what it appears to measure. A test has construct validity to the extent that variance in test scores is associated with variance in the trait measured. Determining construct validity is also partly a matter of judgment, and there can be no single objective measure of a test's construct validity. However, certain techniques may provide information that will help to determine what the test is actually measuring. Among these are analysis of the relationship between scores on one test and scores on other tests, studies of the internal consistency of a test, factor analysis, correlations between different measures of the same trait, or related traits.

III. PROBLEMS IN EVALUATING VALIDITY

A. Defining Criteria of Effective Job Performance

Effective performance in any job involves many factors, and in broad job classifications there may be variations in emphasis from one job to another and different approaches to the job that prove equally effective. Supervisors differ in their view of the relative importance of different aspects of the work and the type of person who is

most effective. It is difficult to obtain agreement on the criteria of effective job performance.

3. Setting Standards for Rating Job Performance

Even with the same criteria of job performance and a carefully constructed measuring scale, there will be inconsistencies in the rating standards applied, especially if more than one person must make the ratings. Different supervisors will inevitably apply different standards, and any supervisor's judgment as to the position a particular employee should take on a scale from "unsatisfactory" to "outstanding" depends in part on the supervisor's experience with other employees. It is sometimes suggested that all ratings be made by a single higher-ranking individual to achieve greater consistency in rating. However, this approach may not actually increase the reliability of the ratings because they will then be made by a person who is less familiar with the actual job performance of the employees he is rating.

C. Using Measuring Scales

A rater with the best intentions may still find it difficult to distinguish among the factors being rated and to avoid the halo effect in rating individual employees. Clearly outstanding employees and clearly unsatisfactory ones will generally be accurately rated, but in the middle range there will be a great deal of inconsistency among raters. Even for employees rated at the extremes of the scale there may be bias in the supervisor's judgment.

1. In rating his best employees the supervisor may tend to forget or overlook instances of poor performance.

2. In rating poorer employees the supervisor may tend to forget or minimize the significance of instances of good performance.

3. In all ratings the supervisor may tend to give greater weight to more recent occurrences and to forget more remote occurrences.

IV. EVALUATING THE CRITERION MEASURE

The criterion for evaluating the validity of any Civil Service selection test must be job performance, but, as we have seen, there are many problems in defining what is meant by satisfactory job performance and obtaining adequate measures of job performance. To be of use in the validity study, a criterion measure should have certain characteristics.

A. Relevance or Validity

The criterion measure should meet standards of content and construct validity; that is, it must provide an adequate sampling of the essential elements in effective job performance, and the scale used as the criterion measure must actually reflect the conceptual criterion.

B. Reliability

The criterion measure must be consistent and predictable in order to provide usable data. If absolute production figures are used as a criterion measure, the adequacy of sampling in the study is an important consideration. If a more subjective rating scale is used, there must be effort to make it as objective or behaviorally descriptive and internally consistent as possible so that different supervisors will apply it consistently and provide dependable data.

C. Freedom from Bias

There must be some control against bias in applying the criterion measure. If raters, for example, tend to assign ratings in accordance with length of experience, educational background, or other variables not specifically included in the factor to be rated, there will be bias in the data. The influence of a contaminating factor can be removed if the nature of the contaminant is known. Most often the problem in eliminating bias is in identifying it and determining its influence. A special problem arises when raters are aware of test scores and thus are influenced by these in their ratings of job performance. In the test validation setting this means that ratings must be collected before scores of candidates are published.

V. FACTORS AFFECTING THE SIZE OF THE VALIDITY COEFFICIENT

A validity coefficient is a correlation coefficient and as such is subject to the same influences as any correlation coefficient. Characteristics of the group, characteristics of the measuring instrument (both the test and the criterion measure), and characteristics of the measurement situation all affect the size of the validity coefficient actually obtained.

A. Characteristics of the Group

1. Variability -- As with any correlation coefficient, the potential for high values decreases as the variability in the group decreases. This means that if there is little variability in the group with respect to either job performance or scores on a test, we cannot hope for a high validity coefficient.

2. Restriction of range -- Typically those to whom a test is administered are a pre-selected group in that they have met certain admission qualifications. Likewise, those who are rated on the job are a pre-selected group because they are the ones who passed the test. This restriction of range limits the potential size of the validity coefficient.

B. Characteristics of the Criterion

The problems of developing an adequate criterion measure have already been discussed. Lack of reliability in the criterion measure limits the potential for high validity. Likewise, a criterion that lacks validity in the sense that it does not truly represent the job, limits the value if not the size of the validity coefficient that may be obtained.

C. Characteristics of the Measurement Situation

The conditions under which test scores are obtained and the conditions under which ratings are obtained affect the validity coefficient. The statistical techniques used to compute the correlation coefficient affect the size of the validity coefficient. If the available data do not fit the correlation technique used, the validity coefficient may be depressed. Likewise the particular aspect of test validity with which we are concerned may affect the size of the validity coefficient. A test may be valid with one group and not with another because it is not measuring the same things with both groups. A test may predict effectively in one part of the total range of the group but not in others; for example, it may predict effectively at either extreme but be weak in the mid-range, or it may predict effectively only at the top of the scale.

A test may effectively rank competitors and thereby be a good predictor, but the passing point set may mean that validity in terms of passing or failing is poor. If the validity problem were approached simply from a pass/fail standpoint, the validity coefficient could be depressed. The reverse situation could also be true in that the test effectively discriminated between the successful and the unsuccessful without ranking competitors as to degree of success. Such defects may say more about the cutting score than about the test itself.

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VI. BUILDING THE VALIDITY OF TESTS

A. The Validity of the Test as a Composite

We use the composite test rather than the individual parts of the test as the predictor of job performance. Therefore, we must be concerned with the test as a whole in our validity study. However, it also is valuable to investigate the validity of individual subtests or parts of the total test so that we may improve our combination and weighting of test materials.

1. Effects of correlation -- We have seen that two subtests which are negatively correlated can cancel each other out. This means that whatever predictive value was possessed by either subtest could be effectively negated by using the two subtests in combination with equal weight and a single combined pass mark. We have also seen that positively correlated subtests overlap each other in at least partially measuring the same thing. This means that neither is making the maximum possible contribution to the predictive value of the total test.

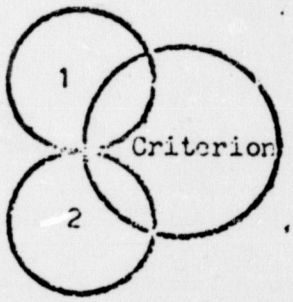
2. Effects of dispersion -- We have also seen that a subtest with considerable dispersion can outweigh a subtest with little dispersion. If the subtest showing greater dispersion is the most valid subtest, the result may be good. However, if the subtest that is potentially most valid shows the least dispersion, it may be useless as a predictor in the total test. It needs to be refined and combined in such a way that its predictive power will not be lost in combination with other subtests.

B. Combining Tests for Maximum Validity

We want our total test to have the maximum possible validity. To achieve this, we must see that each part of the test, whether each individual subtest in a written test or a written and an oral in combination, makes the maximum possible contribution to prediction. We can make a few general comments about the requirements test parts should meet if they are to provide optimal predictive value in the total test.

1. Subtests with high validity coefficients and low intercorrelation

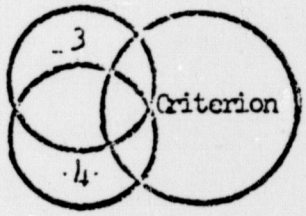
If two subtests both correlate highly with job performance, and there is little or no correlation between the subtests, using the two subtests together will result in a substantial increase in validity for the test battery. In this case each subtest has variance that is associated with variance in the criterion (job performance) but is not associated with variance in the other subtest. In the composite there is the sum of the subtest variances associated with the criterion measure. We can show this in a diagram:



Subtests 1 and 2 both correlate with criterion but do not correlate with each other.

2. Subtests with high validity coefficients and high intercorrelation

If two subtests both show high correlation with job performance, but the subtests have a high intercorrelation, combining the two subtests will not result in as great a gain in validity. In this case a substantial part of the variance in the criterion measure that is associated with variance in one subtest is also associated with variance in the other subtest. There is an overlap that limits the gain in validity derived from combining the subtests.



Subtests 3 and 4 both correlate with criterion; they also are intercorrelated.

C. Multiple Correlation

Multiple correlation techniques are designed to determine which subtests or test parts should be combined for maximum validity of the test battery, and in what relative weights they should be combined. There are a number of different techniques for selecting an optimum test battery. The details of these techniques do not concern us here. Computer programs for many of these techniques exist in the Department and are generally under the control of X-5.

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VII. VALIDITY CONSIDERATIONS IN SETTING PASS POINTS

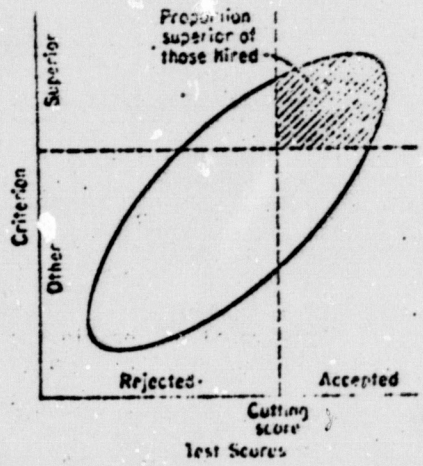
We have seen that the validity of a test is related to the pass point selected. A test may rank candidates well, but if the passing point is set at the wrong point, there may be a substantial number who pass the test but would not be successful on the job, or a substantial number of potentially successful employees who do not pass the test. While proper ranking of candidates is important, there are times when just passing or failing the right candidates is even more critical. Therefore, we must be concerned with the influence of our passing point.

A. Objectives in Setting a Passing Point

1. We want to set the passing point so that a high percentage of those who pass are competent to do the job and a low percentage of those who pass are incompetent to do the job.

2. We also want to set the passing point so that relatively few of those competent to do the job fail the test and most of those who fail are those who are incompetent to do the job.

If we look at a diagram, we can see what happens as we change our cutting score.



In this diagram, those who would be successful on the job fall above the horizontal line and those who would be unsuccessful fall below. Those who would pass the test are shown to the right of the vertical line and those who would fail are shown to the left. Note that, as we drop the cutting score, we pick up more of those who would be successful on the job but we also pick up more who would be unsuccessful.

Our aim in setting the cutting score, then, is to pick up as high a proportion as possible of those above the horizontal success line and as low a proportion as possible of those below the success line. In

any individual situation, setting the cutting score requires a compromise. The risk we are willing to take varies from job to job and from test to test.

D. Considerations in Setting the Passing Point

1. In some situations we are willing to take considerable risk for the sake of passing a larger proportion of the candidate group.

   a. If the job is routine or under close supervision, errors or slips in performance may not be critical.

   b. If the cost of training is low, a reasonable failure rate can be tolerated.

   c. If there are many vacancies to fill and relatively few qualified people to fill them, we may take some risk in order to obtain enough people to fill the jobs. We then rely more on evaluation after appointment to weed out those who are incompetent to do the job.

   d. If we are doubtful of the validity of our test or believe that some other screens may be as good (e.g., minimum qualifications, oral), we may drop the cutting score on an individual test or on the total test to take advantage of the other screens. This is especially true when a job requires KSA that we are not measuring through a particular test as, for example, when interpersonal relations skills or ability to relate to a particular group is critical to job success but we have not found it feasible to measure either factor.

2. In other situations we are reluctant to take the risk involved in lowering our quality standards.

   a. If the job is a critical or highly sensitive one, any serious risk in level or quality of performance may not be tolerated.

   b. If the cost of training is high, it may be necessary to keep the failure rate low.

   c. If there are relatively few vacancies to fill in comparison with the size of the competition, there may be no need to drop the quality standard and thus increase the risk.

   d. If we have considerable confidence in the validity of the test we are using and we believe it is testing the KSA most critical to job success, we will probably be less likely to compromise on the quality standard but will want to maintain a high cutting score.

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RELIABILITY

A full consideration of reliabilityis beyond the scope of the present training session. However, a basic understanding of the meaning of reliability, the methods of estimating reliability, and the factors that tend to increase or diminish reliability is essential to complete the basic equipment of an examiner.

I. THE MEANING OF RELIABILITY

Reliability is concerned with the consistency or stability of measurements made by a test. It should not be confused with accuracy: a thermometer or yardstick that was improperly calibrated could be perfectly reliable yet highly inaccurate. Although there are many approaches to reliability, and each emphasizes certain aspects of reliability over others, all are concerned with this common factor of consistency or stability of measurement. Technically speaking we should speak of the reliability of measurements made by a test rather than the reliability of the test itself. This is because reliability depends not just on the measuring instrument but on extraneous factors such as the characteristics of the group of candidates measured and the conditions under which measurements are made.

A. Definition

Reliability may then be defined as the extent to which a set of measurements is free from random-error variance (Guion). Stated inversely, we may say that reliability refers to the extent to which chance factors affect test results. A perfectly reliable measuring instrument would yield the same result every time it was used; the results might be systematically inaccurate, but they would be consistent and repeatable. We may express the relationship of the systematic and error variance in a set of measurements as follows:

$$\sigma_x^2 = \sigma_s^2 + \sigma_e^2$$

where σ_x^2 is the total variance,

σ_s^2 is variance due to systematic causes (true measures plus any repeatable contaminations),

and σ_e^2 is variance due to variable or random errors.

B. Reliability Coefficient

The ratio of systematic variance to total obtained variance gives us a figure that is called the reliability coefficient. Essentially the reliability coefficient is a correlation between the test and itself or between equivalent alternate forms of the test. If measurements were perfectly reliable, a test would correlate with itself perfectly, giving a reliability coefficient of 1. The reliability coefficient cannot be obtained directly, since we do not know how much of our total obtained variance represents systematic variance; it is therefore necessary to estimate a reliability coefficient through certain techniques that isolate the error variance.

II. APPROACHES TO RELIABILITY

A. Stability

This approach is concerned with the consistency of measurement after a lapse of time. A reliability coefficient calculated through this approach may be called a coefficient of stability. It represents a test-retest correlation -- the correlation between scores on the same test administered to the same subjects at two different times.

1. Use -- This is the method of choice with heterogeneous tests for which other methods of estimating reliability are generally unsatisfactory. It avoids some of the circular reasoning involved in calculating reliability through equivalent forms in which the equivalence of the test forms must first be established by a correlation process and the same or a similar correlation process is then used to establish the reliability of the test.

2. Limitations

   a. The characteristic being measured may not be stable over time; hence, lack of reliability may be due not to the test itself but to the trait being measured.

   b. The second administration of the test is subject to memory and practice effects, particularly if the time interval between test administrations is too short.

   c. Learning may take place between the first and second test administration, particularly if the time interval is long.

   d. It is more difficult to maintain comparable testing conditions for two testings at different times, and it may be difficult to sustain motivation of the test subjects during the second administration.

B. Equivalence

This approach is concerned with the consistency of measurements regardless of the particular items in the test form being used. Any test involves a sample of behavior, and if the results of a test are affected too greatly by the chance selection of items constituting a specific form of the test, the test will be unreliable as a measure of a particular trait. A reliability coefficient computed on the basis of parallel test forms may be called a coefficient of equivalence. It represents the correlation between test scores of the same subjects on two different test forms, administered at the same time or with as short a time interval as possible.

1. Use

a. This approach to reliability is useful primarily for tests on which memory and practice effects would be so extreme that reliability could not possibly be evaluated through the test-retest approach, -- such tests as complex deductive logic problems and tests comprising complex and intricate item forms that may affect test results according to their familiarity to the test subjects.

2. Limitations

a. Test forms may not be equivalent, and the first reliability investigation may, in effect, be determining their equivalence.

b. It may be impossible to administer both forms at the same time, and a time interval allows for changes in the function measured.

c. Memory and practice effects may contribute to results, especially if the item format is unfamiliar to the test subjects.

d. Test conditions may vary if the tests cannot be administered simultaneously.

C. Split-Half

This approach is essentially another method of estimating a coefficient of equivalence. In this method a correlation between separate halves of the test is used to eliminate the necessity for administering two forms of the test. The correlation obtained between scores on the two halves gives an estimate of the reliability of the test half as long as the original test; the Spearman-Brown prophecy formula is then used to convert this figure into a reliability coefficient applicable to the entire test.

1. Use -- This method is adaptable primarily to power tests; it cannot be used with highly speeded tests in which scores tend to represent the number of items completed -- in such a case the reliability estimate would be spuriously high.

2. Limitations

a. The results depend upon the way the test is split into two forms. The split should properly be made on the basis of statistics after the test is held. To satisfy the assumption of equivalence, the test halves should be equal in content, difficulty, means, and standard deviations.

b. Because of the above limitations, particularly the need for content equivalence, the split-half method is usually easier to use effectively with tests that measure a single factor.

D. Homogeneity

This approach is concerned with the internal consistency or homogeneity of a test. A reliability coefficient calculated under this approach may be interpreted as a measure of the consistency of measurement throughout the total test and therefore, the consistency with which the individual items or parts of the test measure the function or trait being measured. This type of test reliability is most often measured by use of the Kuder-Richardson formulas, which exist in a large number of forms for use in different situations in which different data may be available and different assumptions may apply. The K-R 20 formula is generally most useful.

1. Use -- This method is generally useful for all but speeded tests. It provides a satisfactory measure of reliability from one viewpoint but does not deal with the problems of equivalence or stability over time.

2. Limitations -- Because the Kuder-Richardson formulas measure chiefly internal consistency or homogeneity of a test, using these formulas to estimate reliability per se is appropriate only when the test is homogeneous and thus measuring a single trait. When the test is not homogeneous, the Kuder-Richardson formulas give an underestimate of the true reliability.

E. Standard Error of Measurement

This approach is concerned with the extent to which individual measurements may be expected to vary if measurements are made on different occasions, with different forms of the test, and under different testing conditions. In our initial discussion of reliability we indicated that the variance in a set of test scores is made up of systematic variance and error variance. The standard error of measurement is the standard deviation of the distribution of error scores, or the square root of the error variance.

1. Derivation -- The formula for the standard error of measurement is derived from the basic reliability equations as follows:

$$\sigma_x^2 = \sigma_s^2 + \sigma_e^2$$

$$1 = \frac{\sigma_s^2}{\sigma_x^2} + \frac{\sigma_e^2}{\sigma_x^2} \left[\text{ dividing by } \sigma_x^2 \right]$$

$$\text{But } r_{tt} = \frac{\sigma_s^2}{\sigma_x^2}$$

$$\therefore 1 = r + \frac{\sigma_e^2}{\sigma_x^2}$$

Then $\frac{\sigma_e^2}{\sigma_x^2} = 1 - r$

and $\sigma_e^2 = \sigma_x^2 (1-r)$ [multiply by σ_x^2]

$$\therefore \boxed{\sigma_e = \sigma_x \sqrt{1-r}}$$

2. Interpretation -- The standard error of measurement is interpreted the same as any other standard deviation. Using the normal curve, we may estimate the probability and extent of deviation from the true score expected in any obtained score. If the standard error of measurement is 1.5, we may say that chances are 2 out of 3 that any obtained score lies within 3 points of the true score.

3. Use -- The standard error of measurement may be a more useful concept than just the reliability coefficient for evaluating a set of measurements because it enables us to state the degree of confidence we feel that these measurements approach the true measurement. For most purposes it is probably more valuable to be able to say how far any obtained score may have strayed from the true score than to state the decimal figure that gives the reliability of a test. The standard error also enables us to determine whether the differences among individuals revealed in test scores are likely to be significant.

F. Conspect Reliability

The approaches to reliability described so far have been concerned with characteristics of the test, the test subject, and the conditions of test administration. In the typical multiple-choice test the possibility of unreliability in rating may be disregarded. In the free answer test, however, inconsistencies in rating may be a major source of error in measurement. The correspondence or correlation between ratings obtained from different raters has been called conspect reliability. Error variance in such cases stems from the behavior of the raters and their reaction to behavior of the test subjects.

Use -- A computation of conspect reliability may be used as a means of monitoring the rating process when a large number of papers must be scored by different raters, especially over a period of time.

III. FACTORS AFFECTING RELIABILITY

A. Characteristics of the Test as a Whole

1. Length -- In general, the greater the number of items, the more reliable the test. A greater number of items permits a broader sampling of the trait being tested and thus reduces the chance of hitting only the strong points or weak points of a particular candidate. The increase in reliability is not strictly proportional to the increase in length of the test, but it may be calculated according to formula. It is assumed that the items added to increase reliability are equal in quality to those already included in the test and that they sample the same trait.

2. Time allowance -- In general, at least up to a point, the longer the time allowance, the greater the reliability. Too tight a time allowance adds a factor of speed to the test in addition to the WSA already being sampled, and may handicap candidates not adjusted to working at this speed. Beyond a certain point, however, there is some evidence that reliability decreases with additional time. The exact cause of this has not been ascertained.

3. Range of difficulty of items -- The narrower the range of difficulty of items, the greater the reliability. Very easy items tend to be passed by all candidates and thus do not discriminate among candidates, and over-difficult items increase chance scores arriving from guessing. An exception to this rule is when a too-narrow range of difficulty is applied to a too-homogeneous group; in such a case there may be almost no range in the final scores and thus, no discrimination among the candidates.

4. Independence of items -- Interdependent items tend to reduce reliability. Such items are generally passed or failed together, and this has the equivalent result of reducing test length.

5. Scoring requirements -- The more objective the scoring of a test can be, the greater the reliability. Questions requiring subjective judgments by raters obviously introduce more occasion for chance variations.

6. Homogeneity -- The more homogeneous the items, the greater the reliability. A homogeneous set of items can generally be assumed to be testing the same trait or combination of traits. Lack of homogeneity suggests that more than one trait may be sampled by the test and thus the sampling of either is less thorough.

B. Characteristics of Individual Items

1. Number of choices -- The greater the number of choices (assuming that all are working choices), the greater the reliability. The fewer the choices, the greater the probability of success on an item by chance alone.

2. Length -- Short items generally result in greater reliability than long items. This may be due to the fact that short items tend to be stated more clearly and directly and thus are more easily grasped by the candidates, and also that they often present less complex problems. This does not mean that very short items can be used as effective means of sampling in all types of subtests. In some cases very short items could test only for recall and could not tap the higher mental processes.

3. Clarity and directness -- Catch questions tend to lower reliability because they increase the chance factor in responding to the question.

4. Subtle factors -- Various elements of the language used in items may contribute to misinterpretation of the item, thus lowering reliability.

   a. Choice of words -- Unfamiliar words or words with emotional coloring for some candidates may lead to misinterpretation and thus lower reliability.

   b. Sentence construction -- Complex sentence structure or just poor sentence construction may cause misinterpretation and lower reliability.

   c. Inadequate or faulty directions -- Particularly with item formats that may be unfamiliar, poor directions tend to lower reliability because not all candidates will be on an equal footing in responding to the items. For some candidates the items will then test for traits that the examiner did not intend to measure.

   d. Misleading intent of questions -- Items that are ambiguous or misleading may tend to lower reliability for reasons similar to those already mentioned above.

C. Characteristics of the Candidate Group

1. Homogeneity of background -- The more common the experiences of the individuals tested, the greater the reliability.

2. Test-taking characteristics

   a. Speed of work -- Some individuals are set for speed and some are not. Some distribute their time properly and some do not.

   b. Mental set -- The proper mental set is vital to optimal performance on a test. Failure to acquire and hold the proper mental set will tend to reduce reliability.

   c. Motivation -- Variations in motivation to achieve affect test results and thus reliability.

d. Previous experiences -- Attitudes persisting from previous experiences affect test-taking performance.

e. Incidental factors --

(1) Minor accidents like breaking a pencil or finding a defective test booklet.

(2) Distractions

(3) Illness, worry, or excitement

D. Characteristics of Test Administration

1. Testing environment -- Variations in testing environment may affect reliability.

2. Behavior of Monitors and Supervisors -- The care with which instructions for test administration are followed will affect reliability.

3. Time interval between tests -- Memory and practice may affect performance if the time interval between similar tests or different forms of the same test is too short; particularly if a short time interval applied to some but not all candidates, this could reduce reliability. Too long a time allowance allows for change in the candidate group and thus might result in apparent lowered reliability of a test.

DEF. EXH. J-[PART] CIVIL SERVICE DEPARTMENT TEXT FOR TRAINING COURSE IN TEST CONSTRUCTION AND ANALYSIS Ch. 12-SPECIAL PROBLEMS IN TESTING

Ch 12

SPECIAL PROBLEMS IN TESTING

In the previous discussions we have considered many of the factors that contribute to the way tests operate, alone or in combination. We have seen how we can analyze individual test items, subtests, and tests to determine how they are functioning and what changes need to be made to improve them. Now let us look at some of the special problems that we may encounter at the approaches we can take to improve the performance of our tests.

I. COMPARABLE TESTS

A. Need for Comparable Test Forms

In the Civil Service examining program there are many situations in which there is a need for comparable test forms, other than the obvious problem that occurs when a mistake in test administration makes it necessary to provide a comparable form for a retesting of candidates. Among the regular needs for comparable test forms are the following:

1. Continuous recruitment examinations -- Alternate test forms are nearly always needed for continuous recruitment examinations to permit repeat testing of candidates and to reduce security risks by rotation of forms used on particular test administration dates. If several test forms are being used concurrently, the forms should be comparable because names will be interfiled on the eligible lists regardless of the test form an individual candidate took.

2. Tests given annually or more often -- Many examination series, particularly those for local jurisdictions, must be given on a regular recurring basis. It is useful, though not essential, to have available comparable test materials to facilitate setting of passpoints on each examination. In some situations it may also be economical and efficient to produce alternate test forms that can be submitted for prior approval and that can then be made available to individual jurisdictions as needed.

3. Subtests in rubrics that draw heavy use -- Certain types of subtests are needed frequently, often for different examinations which will attract essentially the same competition. As the same subtest cannot be used repeatedly in such situations, it is often desirable to have available comparable subtests that can be used interchangeably.

B. Statistical Requirements for Comparable Subtests and Test Forms

To be statistically comparable, multiple forms of tests and subtests must meet certain requirements.

1. Equal difficulty -- The means should be equivalent.

2. Equal dispersion -- As we have seen, tests with the same mean may give rise to totally different distributions. For comparability

the dispersion, generally measured by the standard deviation, must be the same.

3. Equal intercorrelations -- Comparable tests and subtests should show the same pattern of inter-item and inter-subtest correlation.

C. Content Requirements for Comparable Tests and Subtests

Statistical equivalence is not sufficient to assure that two subtests or tests are comparable. It seems quite obvious that we could have two subtests with the same mean, dispersion, and item intercorrelation that measure totally different traits. Comparable tests and subtests should meet certain content requirements.

1. Comparable subtests should be parallel in concepts tested, but it is risky to match a subtest item for item too closely because the practice effect will be reflected in scores obtained in the second subtest used. This is especially true if the subtest has special directions or "different" items where practice helps the candidate to deal with them. It is well to guard against having one subtest a carbon copy of the other.

2. Comparable subtests should be parallel with respect to the mental processes required to answer the individual items. This does not mean that each item must be matched with another but that the general pattern of mental processes required should be the same in each subtest.

   a. For example, it would not be good to have one subtest strongly academic in nature, perhaps requiring only recall of certain specific knowledge, while the other subtest is composed largely of situational items requiring judgment more than specialized knowledge.

   b. Likewise, a test heavily loaded with permutation type items or other items of a distinctive format would probably not parallel a subtest composed exclusively of more straightforward items. Not only would the subtests not demand similar mental processes, but they would not appear comparable to the candidate.

D. Format Requirements for Comparable Tests and Subtests

For many reasons comparable tests and subtests need to be comparable in their general structure and format.

1. Comparable tests and subtests should be the same length. This not only makes them appear more comparable to candidates, but it makes possible similar dispersion patterns in terms of the scores as they are reported to candidates. Since multiple-choice tests cannot be scored in less than whole item units, it would be difficult

to consider a 30-item subtest comparable to a 15-item subtest because there would be a greater range of possible scores to be reported in the longer subtest.

2. Comparable tests and subtests should be subject to generally the same time limits. This also reduces the possibility that the comparability of test materials will be challenged.

3. Comparable tests and subtests should be parallel in individual item format. There should be the same number of choices in the items and the candidate should have to use the same mechanical processes to answer the questions and record his answers. This means that the extraneous pressures on the candidate will be similar in both tests or subtests.

II. "QUALIFYING" SUBTESTS vs. "RANKING" SUBTESTS

In examining score distributions we have seen that the subtests with greatest dispersion generally have the greatest power to rank candidates in the total test. Likewise, the test that shows the greatest dispersion has the greatest effective weight in the total examination. Sometimes we want certain elements in the test or the total examination to have a greater or lesser weight than they have previously produced. We may then have to make certain adjustments.

A. "Qualifying" Subtests -- Occasionally a subtest is included in a test plan simply to assure that candidates meet a certain minimum standard of competence in the trait measured by that subtest. There is no desire to rank the candidates on this trait -- simply to assure that they are above a certain floor. In such cases we want a relatively narrow dispersion so that the subtest will have minimal impact on the total scores. Ideally, we should like a U-shaped distribution for this purpose. However, the most practical way to achieve our goal is usually to plan for a relatively easy subtest so that there will be a pile-up of scores in the higher range and the only dispersion will be in the lower tail of the distribution -- usually the failing candidates.

B. "Ranking" Subtests -- Subtests measuring traits that we consider critical in distinguishing between the more successful and the less successful on a job should have maximum dispersion so that they will have maximum impact on the final scores. Sometimes this may mean making certain adjustments. For example, tests of general ability such as reading comprehension tend to have relatively large dispersions. A subtest in a specific subject matter area that shows equal or greater dispersion may be difficult to produce. We will have to consider what can be done to produce greater dispersion in the subtest and whether differential weighting is in order to accomplish the end result. Remember, however, that differential weighting alone cannot accomplish

the task -- the subtest must show reasonable dispersion before differential weighting will have a positive effect. It is also well to be cautious that we do not contaminate the subtest as a measure of the trait by simply inflating the language level of the items to make the items more difficult and more discriminating.

III. ALTERNATIVES TO THE MULTIPLE-CHOICE TEST

In the Civil Service setting the multiple-choice written test is the most commonly used measuring instrument for a number of reasons: it is the most economical to administer and score, it can be more objectively rated than most other types of tests, and it is most amenable to intensive analysis and refinement. There are, however, many situations in which we use other types of tests: free-answer written tests, performance tests, oral tests, and training and experience evaluations.

A. Reasons for Using Other Forms of Tests

1. Psychometric

   a. Some traits, which may be critical to job performance, cannot be measured effectively with a multiple-choice written test; some cannot even be adequately measured with any form of written test available to us.

   b. In a new occupational field there may be less risk in using some other form of measuring instrument.

2. Administrative

   a. It may be impossible or too costly to develop adequate multiple-choice materials, particularly in a highly specialized field.

   b. Lack of candidate acceptance of the multiple-choice written test may militate against its use in some situations.

   c. There may be too little time available to develop adequate multiple-choice test materials.

B. Essay Tests

The essay test is one type of free-answer written test. Aside from those essay tests that are in reality performance tests (e.g., tests of writing skill), the essay test is generally most effective in evaluating skill in organizing knowledge and applying it to problem situations. An essay test may also be used for practical reasons:

1. If a test requires highly technical material that is not available in multiple-choice form, that would have limited use, and that might quickly become out-of-date, it may not be worth the trouble and expense to prepare a multiple-choice test.

2. If few experts besides potential candidates are available, an essay test may be more feasible and pose fewer security problems.

3. If there is some uncertainty about the adequacy of a multiple-choice test in the field, an essay test may allow the examiner an "open-end" opportunity to evaluate the candidate's knowledge and skill with respect to the demands of the job.

C. Performance Tests

1. Use -- Performance tests are used to measure skills that cannot be adequately measured by other measuring instruments.

   a. Writing skills

   b. Art or drafting skills

   c. Typing, stenographic, etc. skills

   d. Mechanical or manipulative skills

2. Problems

   a. Planning test content

      (1) Insuring adequate work sampling

      (2) Insuring predictive power of test

      (3) Insuring feasibility of administration

      (4) Insuring ease and objectivity of scoring

   b. Arranging for administration

      (1) Location of testing

      (2) Equipment needed

      (3) Method of administration

   c. Developing criteria for rating

      (1) Selecting factors to be rated

         (a) Measurable qualities of product

(b) Qualities of product subject to judgment

(c) Work methods

(d) Speed

(e) Trade knowledge

(2) Training raters

D. Training and Experience Evaluations

Training and experience evaluations constitute the traditional means of selection in private industry. In government service, however, they have been less frequently used, partly because of the difficulty in developing rating scales of adequate objectivity, reliability, and validity. Satisfactory rating scales can, however, be developed, and training and experience evaluation thus presents a viable alternative to various forms of assembled tests.

1. Uses -- Training and experience evaluation might be the method of choices in such instances as the following:

   a. Testing a professional competition when basic competence has already been assured through licensure or certification procedures -- especially in groups which find additional formal testing onerous.

   b. Ascertaining candidates' possession of specialized skills, especially mechanical or manipulative skills, when a full evaluation through performance test is not feasible.

   c. Considering personal qualities and characteristics not amenable to formal testing -- generally then inferred through such things as demonstrated evidence of leadership, etc.

2. Problems

   a. Determining criteria -- Criteria for training and experience evaluation must be based on the same careful job analysis required for development of other forms of test.

   b. Validating scales -- T&E scales should be subject to the same validation requirements as other types of tests.

   c. Rating -- Rating can be a time-consuming process, especially if there are a large number of candidates or applications are received and processed steadily over a long period of time.

Quick dated October 2, 1972

STATE OF NEW YORK

DEPARTMENT OF CORRECTIONAL SERVICES

THE STATE OFFICE BUILDING CAMPUS

ALBANY, N. Y. 12226

RUSSELL G. OSWALD
COMMISSIONER

MEMORANDUM

TO: Superintendents of all Facilities

FROM: William Quick, Deputy Commissioner

SUBJECT: Custodial Staffing Survey

DATE: October 2, 1972

The attached package represents a final version of this department's recent survey of custodial staffing at your facility.

All permanent custodial positions approved by the Division of the Budget have been included in the post staffing charts (forms A, B, and C).

The set of "Individual Post Description" charts (form D) which you submitted previously is being returned for your review. Revisions will be necessary in the following instances:

a) Newly approved posts are included on the staffing charts (A, B, and C), but post descriptions (D) for these new positions have not yet been forwarded to this office. Please submit.

b) Certain individual post descriptions have apparently been lost in transmittal. Determine which descriptions are missing from the attached set and prepare duplicate copies for this office.

c) Discrepancies exist between post #'s or designations on staffing charts (form A) and post #'s or designations on duty description charts (form D). Please compile a set of post descriptions that corresponds numerically in title with the posts on form A.

d) The duties described on certain individual post descriptions may be inaccurate because changes have occurred since they were originally prepared or because they were hastily prepared in the first place. Please prepare revised post descriptions as necessary.

e) This package may contain individual post descriptions of positions disapproved by Budget. Only those positions listed on form A have been officially approved. Isolate all others and eliminate them from your set.

When the above revisions and corrections have been completed, an accurate and complete final edition of "Individual Post Description" charts should remain. Please organize them and submit one copy to this office.

This final review of custodial staffing at your facility should not be interpreted as an opportunity to request new positions. Approval of additional personnel will require exceptional justification by separate submission.

DXQ A-1783

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Supervisory Staffing

a) The exact title for some Correction Lieutenant positions is still pending. However, you may assume that the total number of Budget approved Lieutenant items listed on the attached charts is correct.

b) Auburn, Coxsackie, Woodbourne, Ossining, Bedford Hills (male & female), and Wallkill Correctional Facilities are carrying an Assistant Deputy Superintendent item in place of one Lieutenant item. For these facilities job descriptions should be prepared for all the Lieutenant items shown, and none for the Assistant Deputy, since the latter will eventually be replaced by a Lieutenant position.

D. INDIVIDUAL POST DESCRIPTION

Facility Auburn Correctional Date March 10, 1972
Title of Positions Assigned to Post Correction Sergeant
Post: No. 1 Designation ~~Chart Sergeant - Main Yard~~ C & D Blocks

Purpose of Post: (Over-all, summary narrative description.)
This post is designated with the responsibility of supervising and monitoring all scheduled activites of inmates and Officers in the Main Recreation Yard and supplying and supervising the necessary custodial personnel needed for miscellaneous details in the daily operation of the Facility. He is responsible for C & D Blocks.

Duties: (List in numerical order.)

1. It is the duty of this Sergeant to supervise Officers and inmates in the Main recreation yard. He must assign Officers to gyard posts in the Yard maintaining proper coverage at all times. He is responsible for having the recreation yard open at specified times, according to schedule. He must supervise inmate formations while entering and leaving the Main recreation Yard.

2. The main recreation yard area is often used for movement of inmates in formation to mess halls and to shop and school assignments. Proper supervision of the yard must be maintained during this period and this is the sole responsibility of the Main Yard Chart Sergeant.

3. It is the duty of this Sergeant to assume the responsibility of proper maintenance of the physical aspect of the yard areas. The yard must be kept clean and all recreation equipment must be maintained in proper working order. Recreational supplies and equipment are the responsibility of the Main yard chart sergeant.

4. It is the duty of the Chart Sergeant - Main yard to control and maintain a current roster of all Officers assigned for duty in his area and other areas of his responsibility. All requests for coverage of miscellaneous details which occur daily are referred to this Sergeant for disposition as all miscellaneous Officers are assigned to his area pending their assignment by the Sergeant to necessary details.

5. It is the duty of this Sergeant to arrange proper coverage of special events as requested by proper authority such as movies, Chapel services, recreational events, outside entertainment, etc.

6. It is the duty of this Sergeant upon proper notification to prepare necessary supplies, materials, cell equipment for incoming drafts of inmates.

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerical order under each heading as appropriate.)

Attitudes:

1. Must display a genuine interest in the treatment of inmates and have understanding of their problems and concerns.
2. Must be calm and self assured.
3. Must have sound judgement, display tact and diplomacy in treatment of inmates and Officers.
4. Must realize the degree of responsibility necessary in this assignment.

Knowledges:

1. Must have a comprehensive knowledge of all rules and regulations and policies of the facility.
2. He must be familiar with all personnel assigned to his area, their posts, duties and responsibilities.
3. In the event of a disorder, he must be familiar with procedures to be followed in securing his area of responsibility.

Skills:

1. He must be able to supervise custodial personnel assigned to his area.
2. He must be able to counsel inmates on any problems which they might have and properly advise them.

Note: In case of insufficient space, complete any of above sections on reverse of this page.

7. This Sergeant is responsible for C & D Block cell housing area. He is responsible for the custody, security and general well being of inmates confined in these cell blocks. In addition, this Sergeant monitors and controls movement to and from these blocks.

D. INDIVIDUAL POST DESCRIPTION

Facility Auburn Correctional Date April 25, 1972
Title of Positions Assigned to Post Corr. Sergeant
Post: No. 3 5 Designation Segregation

Purpose of Post: (Over-all, summary narrative description.)

The purpose of this post is to see that all Officers and inmates are supervised properly, that the facilities rules and regulations are being adhered to.

Duties: (List in numerical order.)

1. This Sergeant is responsible for the supervision of Officers and inmates assigned to Segregation. He must see that rules and regulations of Segregation are complied with.

2. He is responsible for security of the Segregation areas. He must see that contraband is not allowed in or out of Segregation. The Locking system and doors must be checked regularly under his supervision.

3. He is responsible to see that inmates are moved in Segregation with care to prevent injury to inmates and Officers from disorderly inmates.

4. He is responsible for the cleanliness of Segregation areas and for seeing that cells are properly equipped.

5. He is responsible to provide recreation and exercise, baths and clean clothing for inmates in Segregation.

6. He is responsible for serving of food to inmates in Segregation. He is to see that wholesome food is served in a sanitary and efficient manner.

7. He is responsible for custody, security and general well being of the inmates confined in Segregation.

8. He must assist and instruct Correction Officers assigned to Segregation.

9. The Segregation Sergeant is responsible for proceeding to the North Mess Hall and assist in supervising the feeding of the Noon meal and also supervises the feeding of the evening meal in the Mess Halls from 3:10 to 4:10 P.M. daily.

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerical order under each heading as appropriate.)

Attitudes:

1. Must display a genuine interest in the treatment of inmates and have an understanding of their problems and concerns.
2. Must be calm and self-assured.
3. Must have sound judgement, display tact and diplomacy in dealing with both Officers and inmates.
4. Must realize the degree of responsibility necessary in this assignment.

Knowledges:

1. He must have a comprehensive knowledge of the rules and regulations and policies of the Facility.
2. He must be familiar with all personnel assigned to his area, their posts, duties and responsibilities.

Skills:

1. He must be able to supervise custodial personnel assigned to his area.
2. He must be able to counsel inmates on any problems which they might have and properly advise them.

Note: In case of insufficient space, complete any of above sections on reverse of this page.

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D. INDIVIDUAL POST DESCRIPTION

Facility Auburn Correctional Date June 14, 1971
Title of Positions Assigned to Post Correction Sergeant
Post: No. 43 Designation School

Purpose of Post: (Over-all, summary narrative description.)

It is this Sergeant's responsibility to supervise the custodial responsibilities in the proper operation of the School, in cooperation with the Director of Education.

Duties: (List in numerical order.)

1. The School Sergeant is responsible for the custody, security and general well being of inmates attending the school.

2. He is responsible to see that inmates move to the school area in an orderly manner and that inmates are accounted for properly. He must see that inmate movement in the school building is orderly and that inmates report to their proper classes without delay.

3. He is responsible for cleanliness and maintenance of the school building.

4. He must assist and instruct Correction Officers assigned to the School in the performance of their duties.

5. He is responsible for feeding of the Noon Meal in the main mess hall.

6. He is responsible for the correct count of inmates in the School area.

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerical order under each heading as appropriate.)

Attitudes:

1. Must display a genuine interest in the treatment of inmates and have an understanding of their problems and concerns.
2. Must have sound judgement, display tact and diplomacy in the treatment of inmates and Officers.
3. Must realize the degree of responsibility necessary in this assignment.

Knowledges:

1. Must have a comprehensive knowledge of all rules and regulations and policies of the Facility.
2. He must be familiar with all personnel assigned to his area, their posts, duties and responsibilities.
3. In the event of a disorder, he must be familiar with procedures to be followed in securing his area of responsibility.

Skills:

1. He must be able to supervise custodial personnel assigned to his area.
2. He must be able to counsel inmates on any problems which they might have and properly advise them.

Note: In case of insufficient space, complete any of above sections on reverse of this page.

D. INDIVIDUAL POST DESCRIPTION

Facility Auburn Correctional Date March 10, 1972
Title of Positions Assigned to Post Correction Sergeant
Post: No. 54 Designation Hospital & Administration Bldg.

Purpose of Post: (Over-all, summary narrative description.)

It is the purpose of this post to properly supervise personnel assigned to the Hospital and Administration Building in the discharge of their duties. He must institute and supervise operatin procedures under the direction of higher authority.

Duties: (List in numerical order.)

1. It is his duty to supervise the feeding of the breakfast meal in the North Mess Hall and the movement of inmate formations to and from this area.

2. It is his duty to proceed to the First Aid room in the administration building and supervise "Sick Call" at 9:00 A.M. daily. It is also his duty to supervise the movement of any inmates from Segregation to First Aid or the Hospital for treatment.

3. He is responsible for the Hospital area. He must see that all rules and regulations established are being adhered to by personnel assigned.

4. He is responsible for the operation of the Package room. He must see that all rules regulations and policies are adhered to by personnel assigned there.

5. He is responsible for the cleanliness in the Administration Building and the security of the building.

6. It is the duty of this Sergeant to assist in maintaining proper control of inmate pick-ups for various reasons which are conducted in the lower hall and first aid rooms being certain that there are not too many inmates congregated at one time for security reasons.

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerical order under each heading as appropriate.)

Attitudes:

1. Must display a genuine interest in the treament of inmates and have understanding of their problems and concerns.
2. Must have sound judgment, display tact and diplomacy in the treatment of inmates and Officers.
3. Must realize the degree of responsibility necessary in this assignment.

Knowledges:

1. He must have comprehensive knowledge of all rules and regulations and policies of the Facility.
2. He must be familiar with all personnel assigned to his area so he may ascertain that all duties are being performed in the correct manner.
3. In the event of a disorder, he must be familiar with procedures to be followed in securing his area.

Skills:

1. He must be able to supervise cudtodial personnel assigned to his area.
2. He must be able to counsel inmates on any problems which they might have and properly advise them

Note: In case of insufficient space, complete any of above sections on reverse of this page.

D. INDIVIDUAL POST DESCRIPTION

Facility Auburn Correctional Date March 10, 1972
Title of Positions Assigned to Post Correction Sergeant
Post: No. 21 Designation A & E Blocks & South Recreation Yard.
~~Correction Officer~~ ~~Cell Block Sergeant~~

Purpose of Post: (Over-all, summary narrative description.)

This post is charged with the responsibility of supervising and monitoring all scheduled activities of inmates and Officers in the South Recreation Yard, and adjacent housing blocks. He must assume responsibility for the custody, control, security and well being of inmates housed in cell blocks A & E.

Duties: (List in numerical order.)

1. It is the duty of this sergeant to supervise Officers and inmates in the South recreation yard. He must assign Officers to duty posts in the yard as necessary. He is responsible for having the recreation yard open at the specified times according to schedule. He must supervise inmate formations while entering and leaving the South recreation yard.

2. The South Yard Sergeant is responsible for the physical repair and cleanliness of the South Recreation Yard. Recreational equipment is under the supervision of this Sergeant.

3. The A & E Sergeant is responsible for the area of A & E cell housing Blocks. He is responsible for the custody, security and general well being of inmates confined in Cell Blocks A & E.

4. It is the duty of this Sergeant to proceed to the South Mess Hall at the noon meal and assist in supervising the feeding of this meal.

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerical order under each heading as appropriate.)

Attitudes:

1. Must display a genuine interest in the treatment of inmates and have an understanding of their problems and concerns.
2. Must be calm and self assured.
3. Must have sound judgment, display tact and diplomacy in the treatment of inmates and Officers.
4. Must realize the degree of responsibility necessary in this assignment.

Knowledges:

1. He must have a comprehensive knowledge of all rules and regulations and policies of the Facility.
2. He must be familiar with all personnel assigned to his area their posts, duties and responsibilities.
3. In the event of a disorder, he must be familiar with procedures to be followed in securing his area of responsibiliy.

Skills:

1. He must be able to supervise custodial personnel assigned to his area.
2. He must be able to counsel inmates on any problems which they might have and properly advise them.

Note: In case of insufficient space, complete any of above sections on reverse of this page.

D. INDIVIDUAL POST DESCRIPTION

Facility Auburn Correctional Date June 14, 1971
Title of Positions Assigned to Post Correction Sergeant
Post: No. 74 Designation Kitchen

Purpose of Post: (Over-all, summary narrative description.)
It is the purpose of this post to supervise the overall operation of the Kitchen and Mess Halls seeing that all inmates and Officers are performing their assigned duties. He is responsible for the cleanliness of the Kitchen and Mess Halls.

Duties: (List in numerical order.)

1. He is responsible for the custody, security and well being of inmates assigned to the Kitchen area.
2. He must supervise the preparation and serving of breakfast. Supervise inmates working in the Kitchen. He must assist and instruct the Correction Officers assigned to the Kitchen and Mess Hall area.
3. He is responsible for cleanliness of Kitchen and all utensils used in the preparation and serving of food. Cleanliness must be strictly maintained by the Kitchen Sergeant.
4. He is responsible to see that food is served properly, that food is not wasted or pilfered.
5. He is responsible to see that Laundry and clean clothing are provided for Kitchen workers.
6. He is responsible for preparation of all meals and must be present for serving of breakfast and dinner.
7. He is responsible for "B" cell Block housing where Kitchen workers lock. Must check for security, cleanliness and proper operation of this cell block.
8. He is responsible for the Laundry, bath house and clothing room and Tailor Shop building. He must maintain the cleanliness, security and proper functioning of this area.
9. He is responsible for the storehouse building and proper storage of food supplies and materials. He must maintain the cleanliness and security in this area.

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerical order under each heading as appropriate.)

Attitudes:

1. Must display a genuine interest in the treatment of inmates and have an understanding of their problems and concerns.
2. Must have sound judgement, display tact and diplomacy in treatment of inmates and Officers.
3. Must realize the degree of responsibility necessary in this assignment.

Knowledges:

1. Must have a comprehensive knowledge of all rules and regulations and policies of the Facility.
2. He must be familiar with all personnel assigned to his area, their posts, duties and responsibilities.
3. In the event of a disorder, he must be familiar with procedures to be followed in securing his area of responsibility.

Skills:

1. He must be able to supervise custodial personnel assigned to his area.
2. He must be able to counsel inmates on any problems which they might have and properly advise them.

Note: In case of insufficient space, complete any of above sections on reverse of this page.

D. INDIVIDUAL POST DESCRIPTION

Facility Auburn Correctional Date March 10, 1972
Title of Positions Assigned to Post Correction Sergeant
Post: No. 67 Designation Industrial Shop Area and Wall Posts

Purpose of Post: (Over-all, summary narrative description.)

It is the purpose of this post to oversee the operation of the industrial shops for the maintenance of custody, security and general well being and safety of inmates assigned to work in this area. It is also the purpose of this post to inspect the wall posts periodically at irregular intervals.

Duties: (List in numerical order.)

1. It is the duty of this sergeant to assist in supervising the North Mess Hall for the breakfast meal and the movement of inmates to and from the Mess Hall area.

2. It is the duty of this Sergeant to proceed to the Shop gate and assist in counting the inmates through the gate on their way to the industrial shops.

3. It is the duty of this Sergeant to make a tour through the shops in the morning and afternoon to see that all Officers assigned are performing their duties in the prescribed manner, resolve any problems which may arise which can be handled at his level.

4. It is the duty of this Sergeant to supervise the shifting of railroad cars inand out of the Facility at noon time in accordance with established procedures.

5. When available, it is the duty of this Sergeant to cover the feeding of the noon meal in the North Mess Hall.

6. It is the duty of this Sergeant to see that a correct count of inmates assigned to the Shops is maintained at the shop gate at all times.

7. It is the duty of this Sergeant to inspect all wall posts and see that all posts are maintained in the proper manner, to make sure all rules and regulations are being adhered to and that all equipment is stored and cared for in the proper manner.

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerical order under each heading as appropriate.)

Attitudes:

1. Must display a genuine interest in the treatmentof inmates and have an understanding of their problems and concerns.
2. Must have sound judgment, display tact and diplomacy in treatment of Officers and inmates alike.
3. Must realize the degree of responsibility necessary in this assignment.

Knowledges:

1. Must have a comprehensive knolwedge of all rules and regulations and policies of the facility.
2. He must have a knowledge of all personnel assigned to his area, their posts, duties and responsibilities.
3. In the event of a disorder, he must be familiar with procedures to be followed in securing his area of responsibility.

Skills:

1. He must be able to supervise custodial personnel assigned to his area.
2. He must be able to counsel inmates on any problems which they might have and properly advise them.

Note: In case of insufficient space, complete any of above sections on reverse of this page.

D. INDIVIDUAL POST DESCRIPTION

Facility Auburn Correctional Date March 10, 1972
Title of Positions Assigned to Post Correction Sergeant
Post: No. 9 2 Designation Night Tour - 4-12 Shift

Purpose of Post: (Over-all, summary narrative description.)

It is the purpose of this post to assist the night Watch Commander in supervising personnel assigned to this shift and overseeing the operation of the Facility during the hours of his tour of duty.

Duties: (List in numerical order.)

1. It is the duty of this Sergeant to assist in covering the closing of the Facility in the afternoon. He also assists in covering the afternoon meal in the Mess Halls where needed.

2. It is his duty to assist the Watch Commander in seeing that the custody, security of the Facility and general well being of the inmates is adhered to.

3. He assists in supervising the movement of Work Release inmates to and from the Facility during his tour of duty.

4. He must assist the Watch Commander in investigating all emergencies which occur during his tour of duty and take appropriate action as directed.

5. It is his duty to see that the night check counts are taken by personnel assigned in the prescribed manner.

6. It is his duty to stay in the Front Hall while the Watch Commander is in the Facility making his rounds checking security and alertness of personnel assigned.

7. It is his duty to see that inmates are properly supervised throughout the evening and that good order is maintained.

8. It is the duty of this Sergeant to supervise the movement of inmates from housing blocks tothe Hospital when the need arises during his tour of duty.

9. Upon direction of the Watch Commander, it is the duty of the Sergeant to make the 8 PM medication round in Segregation and check personnel assigned to see that all rules and regulations are being complied with.

10. It is the duty of this Sergeant to take all telephone calls received at the Facility in the absence of the Watch Commander while on rounds.

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerical order under each heading as appropriate.)

Attitudes:

1. Must be fair and impartial in administering the assignments of Officers.
2. Must have sound judgment, display tact and diplomacy in dealing with Officers and inmates.
3. Must realize the degree of responsibility necessary to perform the functions of this position.

Knowledges:

1. Must have a comprehensive working knowledge of the assignment charts, rules and regulations and policies of the Facility.
2. In the event of a disorder, must be familiar with procedures to be followed in handling various situations which may arise.

Skills:

1. Must be skilled in supervising all custodial personnel.
2. Must know how to counsel inmates on problems which may arise during his tour of duty.

Note: In case of insufficient space, complete any of above sections on reverse of this page.

D. INDIVIDUAL POST DESCRIPTION

Facility Auburn Correctional Date March 10, 1972
Title of Positions Assigned to Post Correction Sergeant
Post: No. 9 Designation Night tour - 12-8 shift

Purpose of Post: (Over-all, summary narrative description.)

It is the purpose of this post to assist the night Watch Commander in supervising personnel assigned to this shift and overseeing the operation of the Facility during the hours of his tour of duty.

Duties: (List in numerical order.)

1. It is the duty of this Sergeant to assist the Watch Commander in seeing that the custody and security of the Facility and general well being of the inmates is adhered to.

2. It is the duty of this Sergeant to assist in covering the opening of the kitchen and Mess Halls in the morning hours for the preparation of the breakfast meal. He also assists in the supervision of the serving of this meal.

3. He assists in supervising the movement of Work Release inmates to and from the Facility during his tour of duty.

4. He must assist the Watch Commander in investigating all emergencies which occur during his tour of duty and take appropriate action as directed.

5. It is his duty to see that the night check counts are taken by personnel assigned in the prescribed manner.

6. It is his duty to stay in the Front Hall while the Watch Commander is in the Facility making his rounds checking security and alertness of personnel assigned.

7. It is his duty to see that inmates are properly supervised throughout the night time and that good order is maintained.

8. It is the duty of this Sergeant to supervise the movement of inmates from housing blocks to the Hospital when the need arises during his tour of duty.

9. Upon the direction of the Watch Commander, it is the duty of the Sergeant to make the security check round of Segregation and check personnel assigned to see that all rules and regulations are being complied with.

10. It is the duty of this Sergeant to take all telephone calls received at the Facility in the absence of the Watch Commander while on rounds.

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerical order under each heading as appropriate.)

Attitudes:

1. Must be fair and impartial in administering the assignments of Officers.
2. Must have sound judgement, display tact and diplomacy in dealing with Officers and inmates.
3. Must realize the degree of responsibility necessary to perform the functions of this position.

Knowledges:

1. Must have a comprehensive working knowledge of the assignment charts, rules and regulations and policies of the Facility.

2. In the event of a disorder, must be familiar with procedures to be followed in handling various situations which may arise.

Skills:

1. Must be skilled in supervising all custodial personnel.
2. Must know how to counsel inmates on problems which may rise during his tour of duty.

Note: In case of insufficient space, complete any of above sections on reverse of this page.

9K

A. CUSTODIAL POST CHART

Facility Auburn ✓ Date 9/25/72 Page 3

Title(s) of Positions Assigned to Posts on this Page
Correction Sergeant

POSTS			Days Per Week	Shift Hours and Number of Men Each Shift								Total Men Per Day	Total Positions With Relief
No.	Designation	Class		6:30 2:30	7:20 3:20	8-4	10-6	12m 1-9	4-12	12-8			
1	Cell Block Sergeant		7				1					1	1.7
2	Segregation		7				1					1	1.7
3	School		7			1						1	1.7
4	Hospital & Administration	Bldg.	7		1							1	1.7
5	Recreation Yards		7				1					1	1.7
6	Kitchen & Mess Halls		7	1								1	1.7
7	Industry & Wall Posts		7			1						1	1.7
8	Night Tours		7						1	1		2	3.4
									/	TOTAL			15.3

DXF A-1795

95

D. INDIVIDUAL POST DESCRIPTION

Facility Green River Corr. Facility Date 2-1-72
Title of Positions Assigned to Post 7:20 Correction Sergeant
Post. No. _____ Designation School, J-Block, New Admin. Bldg.

Purpose of Post: (Over-all, summary narrative description.)

To provide supervision of the school, J-Block and new Administration Building.

Duties: (List in numerical order.)

1. Supervise the academic school building.
   A. Library
   B. Eight classrooms
   C. Cell study department
   D. School offices
   E. Reality House program
2. Housing Block J.
3. New Administration Building
   A. Staff training section
   B. Old infirmary section
   C. Staging area
   D. Connecting corridors to J-Block and New Administration Building

And any other related dities as assigned by a ranking supervising officer.

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerical order under each heading as appropriate.)

Attitudes:

Knowledges:

Skills:

Note: In case of insufficient space, complete any of above sections on reverse of this page.

DXR A-1796

96

D. INDIVIDUAL POST DESCRIPTION

Facility _____ Date _____
Title of Positions Assigned to Post _____
Post: No. _____ Designation _____

Purpose of Post: (Over-all, summary narrative description.)

To patrol all areas outside of the wall.

Duties: (List in numerical order.)

1. Supervise all of farm.
2. Outside maintenance.
3. Waste disposal.
4. Filter plant.
5. Bright gang.
6. Incinerator.
7. Institution staff houses.
8. Outside garage.
9. Contract construction projects outside the wall.
10. Outside dump.
11. Warden's gang.
12. Check all towers.
13. Powerhouse.
14. Collaborates on escape plans and procedures.
15. Investigate all fights and inmate complaints in his area and any other related duties as required by a training supervising officer.

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerical order under each heading as appropriate.)

Attitudes:

Knowledges:

Skills:

Note: In case of insufficient space, complete any of above sections on reverse of this page.

D. INDIVIDUAL POST DESCRIPTION

Facility [redacted] Date [redacted]
Title of Positions Assigned to Post [redacted]
Post: No. _____ Designation [redacted]

Purpose of Post: (Over-all, summary narrative description.)

To provide a recreation program for from 1700 to 2000 inmates.

Duties: (List in numerical order.)

1. In charge of recreation of all types in four inside Yards and Bay Field.
2. Hobby shop.
3. Television and radio room.
4. Makes schedules for T.V. programs and radio programs.
5. Makes all arrangements for visiting sports teams and outside entertainment.
6. Holiday cookouts in the recreation yards.
7. Supervises delivery to, setting up of, and returning of all art shows in the community. Supervised recreation yard porters., investigate all fights and inmate complaints in his area and any other related duties as assigned by a ranking supervising Officer.

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerical order under each heading as appropriate.)

Attitudes:

Knowledges:

Skills:

Note: In case of insufficient space, complete any of above sections on reverse of this page.

D. INDIVIDUAL POST DESCRIPTION

Facility _____ Date _____
Title of Positions Assigned to Post _____
Post: No. _____ Designation _____

Purpose of Post: (Over-all, summary narrative description.)

To provide supervision of the working details inside the walled enclosure.

Duties: (List in numerical order.)

1. Assignment of inside working details to jobs.
2. Make security checks of all open areas adjacent to the wall and near gate.
3. Supervise the policing and care of all lawn areas inside the wall.
4. Supervise and check all security and safety procedures in effect on contract construction work inside the wall.
5. Investigate all fights and inmate complaints in his area and any other related duties as assigned by a ranking supervising Officer.

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerical order under each heading as appropriate.)

Attitudes:

Knowledges:

Skills:

Note: In case of insufficient space, complete any of above sections on reverse of this page.

D. INDIVIDUAL POST DESCRIPTION

Facility [illegible] Date [illegible]
Title of Positions Assigned to Post [illegible]
Post: No. _____ Designation _____

Purpose of Post: (Over-all, summary narrative description.)

To provide supervision in industrial shops.

Duties: (List in numerical order.)

1. Host mess hall A.M. - Serving counter at noon meal.
2. All of industry
3. All corridors on east side of the institution.
4. Supervise seven industrial shops plus administration and shipping departments employing about 400 inmates, and any other related duties as assigned by a ranking supervising Officer.

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerical order under each heading as appropriate.)

Attitudes:

Knowledges:

Skills:

Note: In case of insufficient space, complete any of above sections on reverse of this page.

1800

D. INDIVIDUAL POST DESCRIPTION

Facility [redacted] Date [redacted]
Title of Positions Assigned to Post [redacted]
Post: No. _____ Designation [redacted]

Purpose of Post: (Over-all, summary narrative description.)

[redacted] Officer, Night Post, Officer [redacted].

Duties: (List in numerical order.)

1. To supervise all activity in the area of the kitchen.
2. Storeroom.
3. Officers' Mess.
4. Works very closely with the food service manager. Assumes some duties of the food service manager when manager is off duty.
5. Makes arrangements to unload trucks arriving after 4:00 P.M. and on Saturdays at the storeroom.
6. Supervises kitchen recreation yards.
7. Investigates all fights and inmate complaints in his area and any other duties as assigned by a ranking supervising Officer.

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerical order under each heading as appropriate.)

Attitudes:

Knowledges:

Skills:

Note: In case of insufficient space, complete any of above sections on reverse of this page.

D. INDIVIDUAL POST DESCRIPTION

Facility [redacted] Date 1/[illegible]
Title of Positions Assigned to Post [redacted]
Post: No. _____ Designation [redacted]

Purpose of Post: (Over-all, summary narrative description.)

Supervises Death House, Law Library, Hospital, and segregation

Duties: (List in numerical order.)

1. Supervises the death house.
2. Segregation
3. Hospital 2nd floor.
4. 1st floor clinics.
5. Morgue.
6. Present at 1:00 P.M. Sick call.
7. Handles all visits to above areas
8. Assists the doctors and nurses especially with mental observation inmates.
9. Counseling of inmates in segregation
10. In charge of the inmate Law Library.
11. Works with the Deputy Superintendent on all Superintendent's proceedings.
12. Does investigation for the adjustment committee and Superintendent's and any other related duties as assigned by a ranking supervising Officer.

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerical order under each heading as appropriate.)

Attitudes:

Knowledges:

Skills:

Note: In case of insufficient space, complete any of above sections on reverse of this page.

2

D. INDIVIDUAL POST DESCRIPTION

Facility _____ Date _____
Title of Positions Assigned to Post _____
Post: No. _____ Designation _____

Purpose of Post: (Over-all, summary narrative description.)

To provide supervision of the east side of the facility from 7:00 am to 3:00 PM.

Duties: (List in numerical order.)

1. Supervise A,B,C,D Blocks & Yards.
2. Count Mess Hall morning & noon.
3. Supervise sick call in A.B.
4. Investigate all fights and inmate complaints in his area, and any other related duties as assigned by a ranking supervising Officer.
5. Make supervisory round of all housing units and shop areas.

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerical order under each heading as appropriate.)

Attitudes:

Knowledges:

Skills:

Note: In case of insufficient space, complete any of above sections on reverse of this page.

D. INDIVIDUAL POST DESCRIPTION

Facility [illegible] Date 1/6/70
Title of Positions Assigned to Post _____
Post: No. _____ Designation _____

Purpose of Post: (Over-all, summary narrative description.)

To provide supervision of the west side of the Facility.

Duties: (List in numerical order.)

1. Supervises A,B,C, & D-Block and yards.
2. Chapels
3. Investigate all fights and inmate complaints in his area.
4. Covers west mess hall noon and night meals.
5. Sits on adjustment committee
6. Does investigations for adjustment committee, and any other related duties as e assigned by a ranking supervising Officer.

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerical order under each heading as appropriate.)

Attitudes:

Knowledges:

Skills:

Note: In case of insufficient space, complete any of above sections on reverse of this page.

D. INDIVIDUAL POST DESCRIPTION

Facility _____ Date _____
Title of Positions Assigned to Post _____
Post: No. _____ Designation _____

Purpose of Post: (Over-all, summary narrative description.)

Duties: (List in numerical order.)

1. [illegible]
2. Supervise all parole board matters.
3. Supervise all sessions of the supreme court at the facility.
4. Investigate all matters pertaining to his area and other related duties as assigned by a ranking supervising officer.
5. Covers liaison duties involved.
6. Collaboration with [illegible] on escape plans & procedure.
7. Conducts institution tours such as Grand Jury.

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerical order under each heading as appropriate.)

Attitudes:

Knowledges:

Skills:

Note: In case of insufficient space, complete any of above sections on reverse of this page.

5

D. INDIVIDUAL POST DESCRIPTION

Facility _____ Date _____
Title of Positions Assigned to Post _____
Post: No. _____ Designation _____

Purpose of Post: (Over-all, summary narrative description.)

To provide supervision of the east cell blocks & yards.

Duties: (List in numerical order.)

1. Supervise E,F,G,H Blocks and yards.
2. Supervise emergency sick calls.
3. East Mess Hall Super.
4. Investigate all fights and inmate complaints in his area and any other related duties as assigned by a ranking supervising Officer.
5. Make supervisory rounds of all housing blocks and shop areas.

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerical order under each heading as appropriate.)

Attitudes:

Knowledges:

Skills:

Note: In case of insufficient space, complete any of above sections on reverse of this page.

A. CUSTODIAL POST CHART

Facility [illegible] Date 10/3/72 Page 3

Title(s) of Positions Assigned to Posts on this Page

Correctional Servants

POSTS No.	Designation	Class	Days Per Week	Shift Hours and Number of Men Each Shift 11:[illegible] 7:[illegible]	7:20 3:20	9:45 5:45	3:20 11:20					Total Men For Day	Total Positions With Relief
1	Administration (Wall Post Inside) Front Gate	7				1						1	1.7
2	Court Office		DISCONTINUED									DISCONTINUED	
3	East Blocks 7:20	7			1							1	1.7
4	East Blocks 3:20 & 11:20	7					1					1	1.7
5	West Cell Blocks	7			1							1	1.7
6	Special Housing Units	7			1							1	1.7
7	Kitchen & Mess Halls	7			1							1	1.7
8	Vocational Shops		DISCONTINUED									DISCONTINUED	
9	Industry	5		1								1	1.2
10	Inside Working Gangs		DISCONTINUED									DISCONTINUED	
11	Recreation Yards and Aud.	7			1							1	1.7
12	Farm, Power House and Wall Towers	7		1								1	1.7
13	School & J-Block	7		1		1						2	3.4
14	Asst. Watch Commander		DISCONTINUED									DISCONTINUED	

D. INDIVIDUAL POST DESCRIPTION

Facility Eastern Date May 30, 1972
Title of Positions Assigned to Post Sergeant
Post: ID No. _____ Designation Recreation - Yard

Purpose of Post: (Over-all, summary narrative description.)

Duties: (List in numerical order.)

He shall be responsible for the security and order of the recreation areas and the well being of the inmates. He shall supervise, instruct and assist custodial employees under his supervision. He shall, with the Recreation Supervisor, coordinate all athletic and sports events. He shall serve on the Safety Committee.

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerical order under each heading as appropriate.)

Attitudes:

Knowledges:

Skills:

Note: In case of insufficient space, complete any of above sections on reverse of this page.

DXR A-1808

8

D. INDIVIDUAL POST DESCRIPTION

Facility Eastern Date May 30, 1972
Title of Positions Assigned to Post Surgical
Post: o No. _____ Designation Hospital - Drug

Purpose of Post: (Over-all, summary narrative description.)

Duties: (List in numerical order.)

He shall assist and instruct the custodial employees under his supervision. He shall be responsible for the good order and conduct on the part of the inmates therein.

Under the direction of the Physician in charge, he shall be responsible for the supervision and care of inmates therein.

He shall see that proper records are kept of personal property of inmates and that procedures are established that will control the storing and use of surgical instruments, hypodermic needles, syringes, medicine and medical supplies.

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerical order under each heading as appropriate.)

Attitudes:

Knowledges:

Skills:

Note: In case of insufficient space, complete any of above sections on reverse of this page.

D. INDIVIDUAL POST DESCRIPTION

Facility Eastern Date May 30, 1972
Title of Positions Assigned to Post Sergeant
Post: # No. _____ Designation Administration Building, Visits and Arsenal

Purpose of Post: (Over-all, summary narrative description.)

Duties: (List in numerical order.)

He shall be responsible for the security and order of the Correspondence Department, Visiting Room, Package Room, Arsenal and Business Office areas. He shall assist and instruct custodial employees in their duties. He shall see that proper records are kept of visitors to the institution and that Arsenal records meet standards set by departmental regulations.

He shall continually check on visitors and inmates and look out for their welfare.

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerical order under each heading as appropriate.)

Attitudes:

Knowledges:

Skills:

Note: In case of insufficient space, complete any of above sections on reverse of this page.

D. INDIVIDUAL POST DESCRIPTION

Facility Eastern Date May 30, 1972
Title of Positions Assigned to Post Sergeant
Post: ? No. _____ Designation School, Laundry & State Shop Issue

Purpose of Post: (Over-all, summary narrative description.)

Duties: (List in numerical order.)

Under general direction of ranking supervisor, he shall be responsible for custody, security and well being of inmates in the School, State Shop Issue, and Laundry area. He shall be responsible for a well-coordinated program to carry out the functions of the various areas under his control. He shall assist and instruct assigned officers in the discharge of their duties. The issuing of proper clothes, the proper maintenance andlaundering of clothes and the bathing of the inmate population, are the prime responsibilities of the area.

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerical order under each heading as appropriate.)

Attitudes:

Knowledges:

Skills:

Note: In case of insufficient space, complete any of above sections on reverse of this page.

D. INDIVIDUAL POST DESCRIPTION

Facility Eastern Date May 26, 1972
Title of Positions Assigned to Post Sergeant
Post: 6 No. _____ Designation Outside Walls

Purpose of Post: (Over-all, summary narrative description.)

Duties: (List in numerical order.)

He shall be responsible forall men working outside the wall. He shall instruct and assist all men in his area in their responsibilities and duties for both normal and emergency situations. He shall visit all gangs daily and constantly check on the welfare of the inmates. Serves on the Safety Committee.

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerical order under each heading as appropriate.)

Attitudes:

Knowledges:

Skills:

Note: In case of insufficient space, complete any of above sections on reverse of this page.

D. INDIVIDUAL POST DESCRIPTION

Facility Eastern Date May 30, 1972
Title of Positions Assigned to Post Sergeant
Post: 5 No. _____ Designation Kitchen & Mess Hall

Purpose of Post: (Over-all, summary narrative description.)

Duties: (List in numerical order.)

He has general responsibility for the control of inmates assigned to the food service area. He shall assist and instruct officers in their duties and is responsible for their supervision. He shall be specifically responsible for the welfare and security of the inmates. He shall prepare proper schedules for work assignments, clothing changes, bathing, recreation and feeding. He shall be responsible for regular (daily) inspection to insure proper operation and that a high level of sanitation is maintained.

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerical order under each heading as appropriate.)

Attitudes:

Knowledges:

Skills:

Note: In case of insufficient space, complete any of above sections on reverse of this page.

D. INDIVIDUAL POST DESCRIPTION

Facility Eastern Date May 30, 1972
Title of Positions Assigned to Post Sergeant
Post: 4 No. _____ Designation Housing Units

Purpose of Post: (Over-all, summary narrative description.)

Duties: (List in numerical order.)

He is under general supervision of ranking supervisors. He shall be responsible for maintaining the cleanliness and general order of all Housing Units. He shall assist and instruct assigned subordinates in the discharge of their duties. He shall see that the welfare of the inmates is protected; that standard procedures are used in all housing units; that proper records demanded by departmental rules are maintained; that all locking devices and ventilating systems are in proper working order. He shall visit all keep-locked inmates daily.

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerical order under each heading as appropriate.)

Attitudes:

Knowledges:

Skills:

Note: In case of insufficient space, complete any of above sections on reverse of this page.

D. INDIVIDUAL POST DESCRIPTION

Facility Eastern Date May 30, 1972
Title of Positions Assigned to Post Sergeant
Post: 2 No. 1 Designation 4 pm - 12 M

Purpose of Post: (Over-all, summary narrative description.)

Duties: (List in numerical order.)

Assists Watch Commander. He shall assist, instruct and supervise the custodial employees. He shall make tours of the institution checking on the security of the institution and the welfare of the inmates. Under the supervision of the Watch Commander, he shall coordinate movement of all inmates to evening activities. He shall directly supervise any large gatherings in a recreation area, movies, gym or mess halls.

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerical order under each heading as appropriate.)

Attitudes:

Knowledges:

Skills:

Note: In case of insufficient space, complete any of above sections on reverse of this page.

D. INDIVIDUAL POST DESCRIPTION

Facility Eastern Date May 30, 1972
Title of Positions Assigned to Post Sergeant
Post: 1 No. 1 Designation 12 M - 8am

Purpose of Post: (Over-all, summary narrative description.)

Duties: (List in numerical order.)

Assists Watch Commander. He shall assist, instruct and supervise the custodial employees. He shall make tours of the institution checking on the security of the institution and the welfare of the inmates. Under the supervision of the Watch Commander, he shall coordinate movement of all inmates to evening activities. He shall directly supervise any large gatherings in a recreation area, movies, gym or mess halls.

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerical order under each heading as appropriate.)

Attitudes:

Knowledges:

Skills:

Note: In case of insufficient space, complete any of above sections on reverse of this page.

A. CUSTODIAL POST CHART

Facility Eastern New York Correctional Facility Date [illegible] Page 1

Title(s) of Positions Assigned to Posts on this Page

Correction Sergeants

POSTS			Days Per Week	Shift Hours and Number of Men Each Shift								Total Men Per Day	Total Positions With Relief
No.	Designation	Class		12/8	7:20 2:20	8/4	9/5	4/12					
1	Night Shift Coverage Sergeants (Corr.)	A	7	1								2	3.4
2	Chart Officer Sergeant (Corr.)	DISCONTINUED										DISCONTINUED	
3	Housing Sergeant (Corr.)	A	7		1							1	1.7
4	Kitchen & Mess Hall Sergeant (Corr.)	A	7				1					1	1.7
5	Outside - Walls Sergeant (Corr.) ~~Sergeant Laundry~~	A	7			1						1	1.7
6	State Shop * Sergeant (Corr.)	A	6*		1							1	1.5
7	Administration - Visits - Arsenal Sergeant (Corr.)	A	7		1							1	1.7
8	Hospital - Drafts Sergeant (Corr.)	A	6			1						1	1.5
9	Yard - Recreation Sergeant (Corr.)	A	7				1					1	1.7
10	Industrial Bldg. Sergeant (Corr.)	A	DISCONTINUED									DISCONTINUED	
											GRAND TOTAL:		16.9
											Recommend		15

* Can also supervise Ind. Bldg.

DXR

A-1817

17

D. INDIVIDUAL POST DESCRIPTION

Facility Ossining Correctional Date
Title of Positions Assigned to Post Correc. Officer
Post: No. 3 Designation Administration Bldg.

Purpose of Post: (Over-all, summary narrative description.)

To exercise supervision of all assigned areas as noted below.

Duties: (List in numerical order.)

Administration Bldg.: - Assignment includes making sure count of Administration porters is taken properly and accurately. Supervisor must coordinate work assignments in each areas as inmate receiving. Identification, Correspondence, Visiting Room and Package Room. Is responsible for overall cleanliness of entire building which includes second floor offices which contain the Accounting Department, Superintendent's Offices, Head Clerk's office, Service Unit and Identification Department. Supervisor must be present when inmates who are entering or leaving the institution on drafts are frisked and counted. Supervisor must escort all approved official visits to the Superintendent's office and after the Superintendent and visitors complete their business and a tour of the institution is approved the supervisor then takes the visitors on said tour. He also supervises the transfers of NYC inmates who are dressed in the basement of the Adm. Bldg. where all clothing for such transfers is stored. He must be present when inmates are entering or leaving the institution in the custody of warrant officers or various police agencies. Once a month Supreme Court is held at this institution at which time the Adm. Bldg. supervisor must be present to coordinate the flow of inmates who are being called before the Court. Also, once a month the Board of Parole meets at this institution at which time the Adm. Bldg. Supervisor must be present to coordinate the flow of inmates who are being called Before the Board.

Alarm System: - It is the responsibility of the Administration Bldg. Supervisor to make sure the Alarm System is maintained and is in proper working order.

Arsenal: - Makes sure all armament is properly cleaned and stored, checks all new supplies received in the Arsenal and sees that proper cleanliness of the Arsenal is maintained.

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerical order under each heading as appropriate.)

Attitudes: Alertness, interest induties.

Knowledges: To have knowledge of the rules and regulations pertaining to his entire area of supervision and be familiar with the duties of all personnel assigned.

Skills: Good judgment, good identification skills, have working knowledge of the alarm system and the weapons used and stored in Arsenal, tactful, and ability to handle personnel, inmates and visitors of various ethnic backgrounds.

Note: In case of insufficient space, complete any of above sections on reverse of this page.

DX R A-1818

D. INDIVIDUAL POST DESCRIPTION

Facility [illegible] Date [illegible]
Title of Position Assigned to Post [illegible]
Post: No. 4 Designation [illegible]

Purpose of Post: (Over-all, summary narrative description.)

To exercise supervision of all assigned areas as noted below.

Duties: (List in numerical order.)

Wall Posts: - Supervision of all Wall Posts which includes cleanliness of these posts. Also care all fire-arms are clean and in working order at all times. Make sure daily reports are turned in to the Arsenal showing that all of the Post equipment is in proper working order.

Garage: - Supervisors responsibility includes making sure the inmate count is taken properly and accurately. Also to make sure all institution vehicles such as, trucks, buses and transportation vehicles are properly maintained and kept in good working order. Keep that cleanliness is maintained and that fire hazards such as, gas, kerosene, etc., are correctly stored.

Yards & Grounds (Inside & outside):- Makes daily inspection of the yards and grounds both inside and outside to see that they are properly maintained.

Supt's Residence: - Makes daily inspection of the Residence and Grounds to determine if proper maintenance is being carried out.

Construction: - Due to the construction program in progress at this institution it is the responsibility of the supervisor to see that security is maintained at the various construction sites. Due to the various areas where construction is in progress he must set up a flexible schedule for himself in order to cover the construction sites and still maintain supervision in his other assigned areas.

Powerhouse & Incin. Yard: - Makes daily inspection of the Powerhouse (new) to insure cleanliness of the building and surrounding area. Makes daily inspection of the Incin. Yard and Powerhouse (old) for fire prevention.

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerical order under each heading as appropriate.)

Attitudes: Alertness, interest in his duties.

Knowledges: To have knowledge of the rules and regulations pertaining to his entire area of supervision and be familiar with the duties of all personnel assigned.

Skills: Good judgment, good identification skills, highly developed physical senses pertaining to eyesight, hearing and smell, tactful, and ability to handle personnel and inmates of various ethnic backgrounds.

Note: In case of insufficient space, complete any of above sections on reverse of this page.

D. INDIVIDUAL POST DESCRIPTION

Facility: Oakdale Correctional
Title of Position Assigned to Post:
Post: No. 5 Designation: H.R.A.

Purpose of Post: (Over-all, summary narrative description.)

To exercise supervision of all assigned areas as noted below.

Duties: (List in numerical order.)

H.R.A. - Supervises the officers covering galleries, movement of incoming and outgoing units, cleanliness of the Block and sees that count is taken properly and accurately. Also does the initial interviews of all new state inmates and completes required interview forms.

Hospital: - Daily supervision of Sick Call, distribution of legal mail to inmate patients, supervision of Officers Mess located in basement of hospital and cleanliness of entire building.

7 Bldg.: - General supervision of this housing unit as to cleanliness, cell changes and making sure counts are taken properly and accurately.

Laundry: - General supervision of this building as to cleanliness, including washers and dryers used in the laundering of inmate clothing and bedding and making sure counts are taken properly and accurately.

Bath House: - Assignment includes daily inspection of Bath House to insure cleanliness is maintained at all times and that counts are taken properly and accurately.

Barber Shop: - Supervises cleanliness of shop and that counts are taken properly and accurately. Also, there are numerous tools used in this shop such as, straight razors, safety razors, and scissors which must be accounted for daily by the Officer in Charge of the Shop. The Supervisor must adjust his schedule so that he is present in the shop at the end of the day and is satisfied that the tools are properly accounted for and security in order before inmates are released from the shop for the day.

State Shop: - General supervision of the shop as to cleanliness, making sure counts are taken properly and accurately and that inmate population receives proper issue of clothing.

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerical order under each heading as appropriate.)

Attitudes: Alertness, interest in his duties

Knowledges: To have knowledge of the rules and regulations pertaining to his entire area of supervision and be familiar with the duties of all personnel assigned.

Skills: Good judgment, good identification skills, highly developed physical senses pertaining to eyesight, hearing and smell, tactful, and ability to handle personnel and inmates of various ethnic backgrounds.

Note: In case of insufficient space, complete any of above sections on reverse of this page.

D. INDIVIDUAL POST DESCRIPTION

Facility Correctional Center Date
Title of Position Assigned to Post Captain
Post: No. 6 Designation N.B.B. and Reception

Purpose of Post: (Over-all, summary narrative description.)

To exercise supervision of all assigned areas as noted below.

Duties: (List in numerical order.)

N.B.B.: - Assignment includes making sure counts are taken properly and accurately. Interviews all new N.Y.C.B. inmates received. Supervises the movement of all incoming and outgoing N.Y.C.B. drafts. Supervises overall cleanliness of entire housing unit, all cell changes and also supervises cell frisks each time they are conducted in block. The NYC detainees are housed in this block and due to the constant turnover in these cells there are numerous cell changes, outgoing drafts and recreation areas that must be supervised and therefore requires much time of the Supervisor in charge of this area.

Chapel & Auditorium: - Supervises overall cleaning of Chapel, Auditorium and all Chaplain's offices. Makes sure Chapel count is taken properly and accurately. Being present whenever movies are shown to reception and population inmates. This entails being present on Friday mornings and Saturday afternoons for Reception movies and on Monday and Friday afternoons for general population. Also must exercise supervision each time a show is being conducted in the Auditorium which may consist of inmate talent or talent brought in from the outside.

Commissary: - Supervise daily movement of inmates receiving Commissary, makes sure Commissary area and Commissary proper is cleanly maintained and that count is taken properly and accurately.

5 Bldg.: - General supervision of the housing unit as to cleanliness, makes sure count is taken properly and accurately, maintains supervision when cell frisks are being conducted.

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerical order under each heading as appropriate.)

Attitudes: Alertness, interest in duties.

Knowledges: To have knowledge of the rules and regulations pertaining to his entire area of supervision and be familiar with the duties of all personnel assigned.

Skills: Good judgment, good identification skills, highly developed physical senses pertaining to eyesight, hearing and smell, tactful, and ability to handle personnel and inmates of various ethnic backgrounds.

Note: In case of insufficient space, complete any of above sections on reverse of this page.

B. INDIVIDUAL POST DESCRIPTION: Facility (Deuel Vocational Institution) Date
Title of Position Assigned to Post: Correctional Officer
Post: No. 7 Designation Floor Officer

Summary of Post: (Over-all, summary narrative description.)

To exercise supervision of all assigned areas as noted below.

Duties: (List in numerical order.)

Recr.:- Chapel, Drill, Store, Jobbing, Yard & Idle Co.. It is the responsibility of the Supervisor in Charge of these areas to make sure all inmate counts are taken properly and accurately. Makes sure that recr. are kept clean and free of fire hazards and sees that periodic checks of tables and lockers are made for purpose of contraband control.

Gym:- It is the responsibility of the Supervisor to make sure all inmate counts are taken properly and accurately. To insure proper recreation program is set up for the inmate population such as, Outside Baseball and Basketball Teams. Supervisor must see that cleanliness is maintained in the Gym including locker room and shower facilities. During the Fall and Winter months Basketball Teams from the outside area are scheduled regularly on week-ends at which time Supervisor must be present.

Ball Field:- Sees to it that the Ball Field is properly maintained. On Saturdays and Sundays during the summer months outside softball teams come into play against the inmate team at which time the Supervisor must be present. In conjunction with the Ball Field he also supervises such areas as, weight lifting court, handball courts and basketball courts which are located outside of the Gym.

School:- Supervisor makes daily inspection to insure cleanliness of School and fire prevention. Also makes routine checks of equipment used in the School classes such as typewriters, radio and tv tools, and auto mechanics tools to insure their proper usage.

Shops (Pallet, Mattress, Arts & Crafts) - Makes daily inspection and is present when counts are taken to insure their being taken properly and accurately. Also checks for cleanliness and fire prevention.

(OVER)

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerical order under each heading as appropriate.)

Attitudes: Alertness, interest in duties

Knowledges: To have knowledge of the rules and regulations pertaining to his entire area of supervision and to be familiar with the duties of all personnel assigned.

Skills: Good judgment, good identification skills, highly developed physical senses pertaining to eyesight, hearing and smell, tactful, and ability to handle personnel and inmates of various ethnic backgrounds.

Note: In case of insufficient space, complete any of above sections on reverse of this page.

Supply Issue:- It is the responsibility of the supervisor to issue supplies such as hand soap, mops, soap powder, tobacco, scouring powder and disinfectant to all areas under his supervision with the exception of tobacco which he issues to all assignments throughout the institution. He must maintain an inventory of all his supplies, record the disposition of such supplies with the amount and name of assignment receiving same.

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D. [illegible] | Facility [illegible] Date [illegible]
[illegible] | Title of Position Assigned to [illegible]
[illegible] | Post: No. [illegible] Designation [illegible]
[illegible] | [illegible]

Purpose of Post: (Over-all, summary narrative description.)

To exercise supervision of all assigned areas as noted below.

Duties: (List in numerical order.)

He is assigned from 7 AM to 3 PM and upon arriving on duty proceeds to the Mess Hall to supervise the Breakfast Meal. In the Mess Hall his assignment includes supervision of inmate counts, cleanliness of the Mess Halls and makes sure all utensils are clean. Supervises officers assigned to Mess Hall and supervise movement of inmate population during meals.

Kitchen: - Makes sure that kitchen is kept clean including pots, pans and ovens used for cooking food. Supervises officers working in Kitchen and makes sure that count is taken properly and accurately.

Storehouse: - Must see that overall cleanliness is maintained at all times and that all supplies stored in this building are properly maintained and accurate records kept in order to avoid any theft of supplies.

Bake Shop:- Must see that cleanliness is maintained throughout the Bakery at all times and that cleanliness is maintained on all utensils and equipment used in the baking process. Also sees to it that all inmate counts are taken properly and accurately.

Mess Hall Rec.:- Supervisor must make sure work in Mess Halls is scheduled so all inmates in this area receive an equal amount of recreation. Must be present during all inmate counts taken in the Mess Hall Rec..

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerical order under each heading as appropriate.)

Attitudes: Alertness, interest in duties

Knowledges: To know rules and regulations pertaining to all phases of the Mess Hall and to have a knowledge of food in reference to its preparation, distribution and palatability.

Skills: Good judgment, good identification skills, highly developed physical senses pertaining to eyesight, hearing and smell, tactful, and ability to handle personnel and inmates of various ethnic backgrounds.

Note: In case of insufficient space, complete any of above sections on reverse of this page.

D. INDIVIDUAL POST DESCRIPTION

Facility Oakdale Correctional Date
Title of Position Assigned to Post Correc. [illegible]
Post: No. 6 Designation Guard Tower [illegible]

Purpose of Post: (Over-all, summary narrative description.)

To exercise supervision of assigned area as noted below.

Duties: (List in numerical order.)

General supervision of this housing unit as to cleanliness, maintains supervision to see that rules and regulations are maintained, that inmates are seen by the physician there indicated, that all inmates receive baths, shaves, and haircuts and proper exercise and recreation. Supervises the feeding of the breakfast and Noon meals. Also supervises all state drafts which are processed and housed in this unit. Drafts usually consisting of 40 inmates are brought to this unit and searched and all items of personal property are taken from the inmates, recorded and packed in separate bags. All personal watches of the inmates are checked against their permits by the Supervisor and then all personal belongings are brought to the Administration Bldg. under the Supervisor's supervision where they are stored overnight. He then turns the watches over to the Head Clerk to be placed in their personal property.

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerical order under each heading as appropriate.)

Attitudes: **Alertness, interest in his duties.**

Knowledges: **To have knowledge of the rules and regulations pertaining to his area of supervision and be familiar with the duties of all personnel assigned.**

Skills: **Good judgment, good identification skills, tactful, ability to handle personnel and inmates of various ethnic backgrounds.**

Note: In case of insufficient space, complete any of above sections on reverse of this page.

D. INDIVIDUAL POST DESCRIPTION

Facility: Central Punishment Date:

Title of Immediate Supervisor: Post: No. 9 Designation: [illegible]

Purpose of Post: (Over-all, summary narrative description.)

To assist the Lieutenant who is in the Supervisor in Charge of the 4 PM - 12 PM shift and who is in charge of the institution from 0345 PM to 12:00 MN.

Duties: (List in numerical order.)

Works in conjunction with the Lieutenant in Charge of the 4 PM - 12 PM shift. Assists the Lieutenant in the operation of the Evening Mess line, supervision of the Evening Meal and lock in and the evening lock in count. After the count is completed makes inspections of the entire lower and upper cell tiers and checks all posts throughout the institution. Supervises the taking of the 9:30 PM and 11:30 PM counts in the cell halls and brings the counts to the Duty Station and checks same with the Lieutenant who certifies the count as correct.

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerical order under each heading as appropriate.)

Attitudes: Alertness, interest in his duties.

Knowledges: To have knowledge of the complete physical layout of the institution, to know rules and regulations applicable to the assigned posts on his tour and be familiar with the duties of all personnel assigned.

Skills: Good judgment, good identification skills, highly developed physical senses pertaining to eyesight, hearing and smell, tactful, and ability to handle personnel and inmates of various ethnic backgrounds.

Note: In case of insufficient space, complete any of above sections on reverse of this page.

D. INDIVIDUAL POST DESCRIPTION

Facility [illegible] Date
Title of Position Assigned to Post [illegible]
Post: No. 10 Designation 12 PM - 8 AM Shift in Charge.

Purpose of Post: (Over-all, summary narrative description.)

To assist the Lieutenant who is the Supervisor in Charge of the 12 PM - 8 AM shift, and who is in charge of the institution from 12:00 PM to 7:00 AM.

Duties: (List in numerical order.)

Works in conjunction with the Lieutenant in Charge of the 12 PM - 8 AM shift. Supervises the taking of the 12:30 AM, 3:00 AM and 6:00 AM counts in the cell halls and brings same to the Duty Station and checks the counts with the Lieutenant in Charge of the Shift to ascertain that all inmates are accounted for and the count is correct. Between the times the counts are taken alternates with the Lieutenant in checking all posts throughout the Institution. At 7:00 AM assists the 7 AM - 3 PM Sergeants in the supervision of the opening count and after the count is certified correct by the Supervisor in Charge of the Institution he proceeds to the Mess Hall and supervises the Breakfast Meal.

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerical order under each heading as appropriate.)

Attitudes: Alertness, interest in his duties.

Knowledges: To have knowledge of the complete physical layout of the institution, to know rules and regulations applicable to the assigned posts on his tour and be familiar with the duties of all personnel assigned.

Skills: Good judgment, good identification skills, highly developed physical senses pertaining to eyesight, hearing and smell, tactful, andability to handle personnel and inmates of various ethnic backgrounds.

Note: In case of insufficient space, complete any of above sections on reverse of this page.

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D. INDIVIDUAL POST DESCRIPTION

Corr. Sergeant

Facility Great Meadow Corr. Facility Date June 2, 1972
Title of Position Assigned to Post Sgt.
Post: No. #29 Designation 4/12 Shift

Purpose of Post: (Over-all, summary narrative description.)

Under direction and orders of superior officers, supervise and instruct Correction officers; aid and assist in all phases;security, safety, rehabilitatipn, and overall management of the Institution and inmates.

Duties: (List in numerical order.)

1. Supervise and instruct officers; see that rules and regulations are being carried out in a proper manner.
2. Observe and direct actions of inmate population.
3. Investigate violations of rules (fights, assaults, work refusals, etc.), inmate complaints,'tips', rumors, all information pertinant to good operation of the Institution.
4. Help supervise messhall; all meals.
5. Assist on adjustment committee when assigned.
6. Assist and, or relieve other Sergeants as occasions demand, in messhall, kitchen, housing units, school and shops; vacation periods, sickness, etc.
7. Direct officers and inmates in big and small yards during inmate recreation periods. Also while in Church, gym programs, movies, etc.
8. Act as O.I.C. when conducting inmates on trips outside the Institution on sick visits, death visits, court appearances or other details.
9. Instruct inmates newly arrived as to rules and regulations, opportunities, programs and goals to be obtained while incarcerated at G. M. C. F.
10. Acquaint inmates going home as to rules of parole, general conduct expected from them, answer questions regarding thier return to society, advise when possible to instill a good attitude for release.
11. Carry out all orders of superiors to insure best possible overall goals of the Institution and the Department of Correctional Services and help return all inmates to society as law abiding citizens.
12. To set an example, by my conduct, as a member of management at Great Meadows, so that officers and inmates will both be aware of thier own responsibilities and strive to constantly better themselves.
13. Be constantly alert to insure the safety and security of the institution and inmates.

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerical order under each heading as appropriate.)

Attitudes:
1. Approach my duties in an objective manner.
2. Strive to maintain definate goals.
3. Be constantly aware of my duties and responsibilities as a Sergeant.
4. Try to establish rapp ort with fellow supervisors and officers under my command.
5. Be fair, firm and equal to both officers and inmates in the performance of my offical duties.

Knowledges:
1. Knowledge of rules ; Correctional Services and Institutional
2. Correction law, pertaining to my job
3. Knowledge of my everyday assignements and ability to carry out same.
4. Knowledge of overall pperation of institution
5. Know the officers and inmates

Skills:
1. Ability to perform my duties in a satisfactory manner
2. Have received numerous certificates for intraining classes, attendance a t Moran Institute, Training Academy, State sponsered classes in begginers Spanish, and a course in begginers Psychology.

Note: In case of insufficient space, complete any of above sections on reverse of this page.

D. INDIVIDUAL POST DESCRIPTION

Facility [redacted] Date 4-27-72
Title of Positions Assigned to Post Lieutenant
Post: No. 6 Designation Administration Building

Purpose of Post: (Over-all, summary narrative description.)

Responsible for Administration Bldg. including Visiting Room, lobby, packa room, correspondence, finance&service unit, parole area, records room, and Superintendent's Office.

Duties: (List in numerical order.)

1. Maintain responsiblility for operation of visiting room, lobby entran package room, correspondence, finance office, service unit.
2. Check all incoming drafts.
3. Check all outgoing drafts and releases.
4. Supervise operation of key room and arsenal.
5. Make out daily work schedules for chart assignments.
6. Perform duties in chart room-making up work charts, taking sick calls making up vacation schedules.
7. Work up daily roll call sheets and work assignments.
8. Coverage of absentees and sickness on work charts.
9. Maintain coverage for outgoing drafts and assign officers.
10. Supervise Officers assigned to all areas of responsibility in proper performance of their duties.
11. Proper policing of circle area immediately in front of Administration Building which is taken care of by Administration Building Porters.
12. Check Time Cards Daily and turn in to the Deputy Supt. a list of unauthorized absentees and late employees.

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerical order under each heading as appropriate.)

Attitudes: Must have attitude of authority and see that duties assigned are accomplished.
Be able to be fair and open minded in dealing with employe inmate visitors, and general public.

Knowledges: Knowledge of Department rules and regulations.
Keeping informed on Department's policy regarding visiti procedures and package room procedures.

Skills: Firm but fair in dealing with employees, inmates.
Courteous and polite in dealing with inmate visitors and the general public.

Note: In case of insufficient space, complete any of above sections on reverse of this page.

D. INDIVIDUAL POST DESCRIPTION

Facility [illegible] Date 4-27-72
Title of Positions Assigned to Post [illegible]
Post: No. 7 Designation School [illegible]

Purpose of Post: (Over-all, summary narrative description.)

Supervision of activities and personnel in assigned area of institution.

Duties: (List in numerical order.)

Supervision of the following areas and activities.
Bldg. #9 - Academic classes, library, Voc. Shops-Tailor, Carpenter, Mason Print, Radio & TV, Electric, Sheet Metal.
Bldg.#19 - Barber Shop, Gymnasium.
Bldg.#15 Welding, Machine, Auto Cl., Auto Repair (Voc. Shop s.)
Bldg.# 6 Hospital Commissary, Interview Rooms.
Bldg.#12 Shoe, Paint, Carpenter (Maint.Shops.)
Bldg.#18 Tailor Annex
Bldg. #7 Laundry, State Shop, Clothing Room
Bldg.#10 Storehouse
Bldg.#24 Soap Factory
Bldg.#11 Metal Factory
Bldg. #3 Auditorium
Work gangs assigned to Small Yard, Big Yard, Utility In, South Yard
Supervise the noon meal run from the various shops and buildings.
Investigate & make reports on fights, complaints, inguiries & inmate inj.
General instruction and training of officers on assignments and in areas unfamiliar to them.
Monthly inspection & inventory of the Wall Posts.
Conduct Orientation and Pre-Parole classes for inmates, as occasion demands
Supervision of Hospital area. Insure proper degree of cleanliness and proper security and safety procedures are being carried out.
Responsible for proper and efficient handling of Sick Call.

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerical order under each heading as appropriate.)

Attitudes: General for all of the above; alert, responsive, involved, fair, flexible, factual, helpful, orderly, adaptable to orderly change, level headed understanding, determination but with patience

Knowledges: Working knowledge of: Many occupations, Correction Law, Departmental policies and procedures; Institutional policies, Institutional procedures, Institutional schedules.

Skills: General for all of the above. The ability to apply the above knowledge at the proper time, place & with the proper amount of authority to accomplish the desired results. To recognize and make use of the special talents of individuals, channeling them in a mutual direction resulting in orderly operation. An understanding of people, attempting to stimulate motivition of all concerned in a cooperative effort to mutual goals.

Note: In case of insufficient space, complete any of above sections on reverse of this page.

D. INDIVIDUAL POST DESCRIPTION

Facility Grant Project Date 11-20-71

Title of Positions Assigned to Post Sergeant

Post: No. 9 Designation Wall Posts and Outside

Purpose of Post: (Over-all, summary narrative description.)

Supervision of all wall posts. Supervision of area outside walls of institution including all state owned property. Supervision of officers assigned outside with inmate work gangs.

Duties: (List in numerical order.)

1. Supervise and inspect wall posts daily.
2. Inspect wall posts for security and safety.
3. Maintain inventory of equipment assigned to wall posts.
4. Supervise officers working outside facility with details of inmates.
5. Inspect work details outside of walls.
6. Assign outside work gangs to work details.
7. Supervise and inspect facility farm area.
8. Supervise and assign work to inmate gang at residence.
9. Make up work charts and assign duties to outside work details.
10. Inspect perimeter of facility for security and safety.
11. Control work performed by maintenance gangs.
12. Instruct officers in proper performance of their duties.

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerical order under each heading as appropriate.)

Attitudes:

Knowledges:

Skills:

Note: In case of insufficient space, complete any of above sections on reverse of this page.

D. INDIVIDUAL POST DESCRIPTION

Facility Great Meadow Correctional Date June 10, 1971
Title of Position Assigned to Post Correction Lieutenant
Post: No. 45 Designation Supervise Housing Unit

Purpose of Post: (Over-all, summary narrative description.)

Supervision of inmate housing units and personnel assigned.

Duties: (List in numerical order.)

1. Supervise and inspect each housing unit daily for cleanliness, security and sanitation. Visit special housing units daily and check on conditions of units and inmates assigned.
2. Supervision of the morning and noon mess.
3. Spot check companies leaving their areas for school, shops, recreation mess.
4. Check that cells and related equipment are kept in good order.
5. Check that supplies are ordered and properly stored and issued.
6. Supervise feeding of inmates assigned to idle company, and spot check feeding of keeplocks in all other hpusing units.
7. Maintain proper clothing and shoe adjustment procedure.
8. Investigate altercations and write reports on same.
9. Investigate and report on complaints by inmates.
10. Maintain proper supervision and instruction of officers assigned to housing areas, to promote maximum effeciency in their assigned duties.

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerical order under each heading as appropriate.)

Attitudes:

1. Approach duties in an objective manner.
2. Strive to maintain definite goals.
3. Be constantly aware of my duties and responsibilities
4. Be fair, firm and equal to all employees.

Knowledges:

1. Knowledge of rules and regulations governing department and institution.
2. Knowledge of Correction Law
3. Knowledge of every day assignments and ability to carry out same.
4. Knowledge of overall operation of institution.
5. Excellent knowledge of both personnel and inmates.

Skills:

Ability to perform my duties in a satisfactory manner.
Ability to handle men and incorporate work assignments.
Ability to make decisions.

Note: In case of insufficient space, complete any of above sections on reverse of this page.

D. INDIVIDUAL POST DESCRIPTION

Facility Green Haven Correctional Date June 24, 1971
Title of Positions Assigned to Post
Post: No. 1 Designation Messhall/Kitchen

Purpose of Post: (Over-all, summary narrative description.)

Supervision of the Messhall, Kitchen and Bakery areas in regards to custody, security and sanitation

Duties: (List in numerical order.)

1. Supervise the feeding of the inmate population during mealtimes.
2. Assignment of officers to cover serving coumters during mealtimes.
3. Insure that correction officers assigned carry out their duties properly and according to the rules and regulations.
4. Determine that correct and proper security is maintained in all areas under supervision
5. See to it that subordinates are properly oriented as to their duties and responsibilities.
6. Supervise and insure that employees pnd inmates maintain proper hygienic procedures.
7. When Food Service Manager is absent (Vacations, R.D.O etc.) to act in his capacity

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerical order under each heading as appropriate.)

Attitudes: Must be strict in administering his duties but also fair. Must be adept in adjusting to the varied duties which will come under his guidance and responsibility.

Knowledges: Possess a broad knowledge of mass feeding, food storage, preparation and dispensing. Must know the health regulations and departmental rules to be applied. The institutional rules regarding security and custody must be topmost in thid supervisor's mind constantly due to large number of inmates all in one area at one given time dailly.

Skills: The man covering this assignment must be dexterous in blending personnel and inmates into a smooth operating unit which will perform the constant dailly function of feeding an entire inmate population. He must be able and ready to cope with emergency situations and have the fortitude to make spontaneous decisions affecting the conduct of those under his direction.

D. INDIVIDUAL POST DESCRIPTION

Facility [redacted] Date 4-27-72
Title of Positions Assigned to Post [redacted]
Post: No. 3 Designation [redacted]

Purpose of Post: (Over-all, summary narrative description.)

Supervise activities in Central Cell Hall. Assign Day Officers to duties. Control movement of inmate population. Supervise Cell Hall Control Officer and officers assigned to this area.

Duties: (List in numerical order.)

1. Control movement of inmate population in and out of Cell Hall.
2. Assigned Officers to various odd assignments as they appear such as fights, interviews, sick call, court, etc.
3. Check and maintain security and safety in assigned areas.
4. Handle emergencies and make decisions as required in performance of assigned duties.
5. Maintain control point of facility.
6. Inspect bars and windows ofor security.
7. Assign extra Officers to coverage of mess hall area during meals.
8. Supervise relieving of inside gun towers for security.
9. Take Charge of Cell Hall.
10. Maintain proper cleanliness, security and sanitation of Locker Room.
11. Hold Roll Call at 7:30 AM and 9:30 AM tours. In cooperation with Captain, or his relief, he will assign officers in such a manner as t provide proper coverage on all posts. The practice of other Supervis assuming responsibility for assigning officers to cover companies of inmates going to mess or recreation will be discontinued. Theroll call Officer will assign officers according to the approved Work Char He will turn his chart over to the 3:30-11;30 supervisor with any information he thinks necessary.
12. In cooperation with the Captain or his relief, he will see that the 3:30 PM tour is properly covered by assigning men to work overtime in emergencies if necessary.
13. Change the Tower Punch Clock daily.
14. Maintain balance of work assignments in Package Room, Correspondence, and Visiting Room. When there are no visits, the Officer may reassig to the Package Room or Correspondence. The same holds true in Packag Room when there are no packages.

~~15.~~

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerical order under each heading as appropriate.)

Attitudes: Must have attitude of authority and ability to see that duties assigned are accomplished.
Must be factual and objective.
Be able to handle personnel and inmate problems constructively and impersonally.
Understand philosophy and functions of the institution and assign Officers to assignments who have ability to carry ou same.
Offer guidance to officers and inmates in their adjustment.

Knowledges: A.A.S. Degree in Correction Administration.
Complete knowledge of the workings and operations of vario departments of the institution.
Knowledge of rules and regulations of the institution.
Knowledge of rules & regulations of the Department.
Knowledge of Correction Law.
Knowledge of where officers are assigned and that duties a properly performed.

Skills: Be able to get along well with others.
Instruct Officers in performance of duties.
Be able to handle labor management disputes.
Familiar with State contract affecting Correction Officers.
Be abbe to maintain good working relations between Officer:
Able to make emergency decisions as needed.

Note: In case of insufficient space, complete any of above sections on reverse of this page.

D. INDIVIDUAL POST DESCRIPTION

Facility Great Meadow Correctional Date June 8, 1971
Title of Positions Assigned to Post Correction Sergeant
Post: No. 12 Designation 3:30-11:30 shift supervisor

Purpose of Post: (Over-all, summary narrative description.)

Supervising Sergeant on 3:30-11:30 shift under direction of Lieutenant

Duties: (List in numerical order.)

My duties on the 3:30-11:30 Shift are:
Hold Roll Call.
Assign Officers to their Posts.
Supervise the Officers in the Mess Hall during the Supper meal.
Direct the orderly return of the inmates to their cells.
Supervise Officers in the Blocks taking Closing Count.
Supervise the feeding of inmates working after Closing Count.
Check the Kitchen, Mess Hall and Bakery for cleanliness before the Mess Hall Officers leave in the Evening.
Make Inside Rounds and make a report on the appearance and alertness of the Officers on duty in the Cell Blocks and Hospital.
Make Outside Rounds to checkthe alertness of the Officers on WallTowers.
Check the telephone calls at the Switch Board at irregualr intervals.
Keep an accurate count of the inmate population.
Check the roster for the 11:30-7:30 Shift, and when necessary, designate Officers to work over-time to fill absences on the relieving shift.

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerical order under each heading as appropriate.)

Attitudes:

1. Approach duties in an objective manner.
2. Strive to maintain definite goals.
3. Be constantly aware of my duties and responsibilities
4. Be fair, firm and equal to all employees.

Knowledges:

1. Knowledge of rules and regulations governing department and institution.
2. Knowledge of Correction law
3. Knowledge of every day assignments and ability to carry out same.
4. Knowledge of overall operation of institution.
5. Excellent knowledge of both personnel and inmates.

Skills:

Ability to perform my duties in a satisfactory manner.
Ability to handle men and incorporate work assignments.
Ability to make decisions.

Note: In case of insufficient space in any of above sections on reverse of this page.

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D. INDIVIDUAL POST DESCRIPTION

Facility GREAT MEADOW CORRECTIONAL Date 6/9/91
Title of Position Assigned to Post CORRECTION SERGEANT
Post: No. 1 Designation 11:30-7:30 Shift

Purpose of Post: (Over-all, summary narrative description.)

Sergeant on 11:30 - 7:30 A.M. Shift

Duties: (List in numerical order.)

1- Train Corr. Officers assigned to this shift.
2- make inspections of the various posts of the inst.
3- See that the Officers are supervised.
4- Check the switchboard to see that the Officers are reporting on time
5- Be responsible for taking the correct count.
6- Under Supervision of Lt. perform duties as required.
7- Inspect kitchen and mess hall area.
8- Inspect perimeter of facility.
9.- Inspect interior of facility.
10. Under direction of LT. in charge, perform related duties.

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerical order under each heading as appropriate.)

Attitudes:
1. Approach duties in an objective manner.
2. Strive to maintain definite goals.
3. Be constantly aware of my duties and responsibilities
4. Be fair, firm and equal to all employees.

Knowledges:
1. Knowledge of rules and regulations governing department and institution.
2. Knowledge of Correction Law
3. Knowledge of every day assignments and ability to carry out same.
4. Knowledge of overall operation of institution.
5. Excellent knowledge of both personnel and inmates.

Skills:
Ability to perform my duties in a satisfactory manner.
Ability to handle men and incorporate work assignments.
Ability to make decisions.

Note: In case of insufficient space, record the rest of above sections on reverse of this page.

A. CUSTODIAL POST CHART

Facility _____ Date ___/___/___ Page _____

Title(s) of Positions Assigned to Posts on this Page _____

POSTS			Days Per Week	Shift Hours and Number of Men Each Shift								Total Men Per Day	Total Positions With Relief
No.	Designation	Class											
	2nd & 3rd shift Sergeants		7									2	3.4
	Cell Hall		7									1	1.7
	Mess Hall		7									1	1.7
	Housing		7									1	1.7
	Outside Wall Posts		7									1	1.7
	School & Hosp.		7									1	1.7
	Adm. Bldg.		7									1	1.7
	Yard & Rec.		7									1	1.7

D. INDIVIDUAL POST DESCRIPTION

Facility Clinton [illegible] Date [illegible]
Title of Positions Assigned to Post [illegible]
Post: No. 7 Designation [illegible]

Purpose of Post: (Over-all, summary narrative description.)

To provide first-line supervision for the recreation yard.

Duties: (List in numerical order.)

1. Conducts roll call line-up for the 9:45 A.M. to 5:45 P.M. shift.
2. Processes incoming and outgoing drafts in the morning.
3. Supervises meshall for noon mess.
4. Sergeant in charge of the recreation yard in the afternoon daily.
5. Handles all inmate recreation yard court assignments and inmates transferring from one recreation yard court to another in the yard.
6. Responsible for making all correction officer assignments in the recreation yard.
7. Responsible for making all unscheduled correction officer assignments and meeting the demands for correction officers throughout the facility from 2:00 P.M. through 5:45 P.M.
8. Responsible for the supervision of all recreational activities in the recreation yard.
9. Responsible for general condition and cleanliness of the recreation yard.
10. Instruct officers in their duties and inform them of any changes in the rules, policies, etc., effecting these duties.
11. Maintains lines of communication between the administration and the correction officers.
12. Maintains accurate, up to date files on all inmates and yard courts.
13. Conducts investigations and performs other duties as directed by proper authority.

[Approved copy outlined by attorney DGA]

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerical order under each heading as appropriate.)

Attitudes: Must have a keen interest and perseverence in carrying out his duties, an appreciation for the problems of all of the people he comes in contact with and a willingness to attempt to solve these problems.

Knowledges: Must have a thorough knowledge of the rules and policies of the department and the facility, of counseling, human relations, and a general knowledge of recreational procedures and an extensive knowledge of the make-up of militant groups.

Skills: The ability to put the knowledge he possesses into practice in such a manner that he will meet the objectives of his area, the facility and the department. Maintain a high degree of morale, and gain ready cooperation from the people he has contact with in spite of their varied interests.

Note: In case of insufficient space, complete any of above sections on reverse of this page.

D. INDIVIDUAL POST DESCRIPTION

Facility Clinton Correctional Facility Date June 7, 19--
Title of Position Assigned to Post Correction Lieutenant
Post: No. 8 Designation Maintenance Lieutenant
9:45

Purpose of Post: (Over-all, summary narrative description.)

Provide first line supervision for wall towers and maintenance gangs throughout the facility.

Duties: (List in numerical order.)

1. Check all projects, farm , garage and areas throughout the facility walls to insure that the officers are properly performing their duties.
2. Check construction projects.
3. Check the wall towers to insure that the officers are poperly performing their duties.
4. Instruct officers in their duties and inform them of any changes in laws, rules and policies effecting their duties.
5. Maintain lines of communication between the administration and the correction officers.
6. Insure that inmates are properly supervised, working under safe conditions and are properly cared for.
7. Supervise activities in the bath house, barber shop, state shop and laundry.
8. Prepare and maintain bath, barber and commissary schedules.
9. Conduct investigations and perform other duties assigned by proper authority.
10. Assist in supervising messhalls and kitchen during meals as directed.
11. Prepares the bi-weekly mess schedule.

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerical order under each heading as appropriate.)

Attitudes: Must have a keen interest and perseverence in carrying out his duties, an appreciation for the problems of all of the people he comes in contact with and a willingness to attempt to solve these problems.

Knowledges: Must have a thorough knowledge of the rules and policies of the department and the facility, counseling techniques, human relations, a general knowledge of construction, maintenance; laundering, barbering and supply procedures.

Skills: The ability to put the knowledge he possesses into practice in such a manner thathe will meet the objectives of his areas, and the facility; maintain a high degree of morale, and gain ready cooperation from the people he has contact with in spite of their varied

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D. INDIVIDUAL POST DESCRIPTION

Facility Clinton Correctional Facility Date

Title of Position Assigned to Post Correction Sergeant

Post: No. 11 Designation Administration Bldg. Gate

Purpose of Post: (Over-all, summary narrative description.)

To provide first-line supervision of employees in the administration building and maintain good relationship with members of the public who visit or have business with the facility.

Duties: (List in numerical order.)

1. Under direction of proper authority, makes arrangements that all daily correction officer assignments be filled which have been vacated due to sickness, personal business, state business, excused time, special assignments and any other varied reasons for which a post may be temporarily vacated.
2. Provides for officers to be assigned to temporary assignments such as funeral and sick visit trips, unscheduled frisking, emergency situations, or any other extra-ordinary assignments which cannot be scheduled. Be responsible for meeting all the needs for officers throughout the facility between the hours of 7:00 A.M. and 3:00 P.M.
3. Hold roll calls and submit reports on absentees and overtime.
4. Supervise those officers assigned to Lobby and Program and Escort duty.
5. Inform officers under his direction of any new rules, policies, or regulations that are pertinent to them.
6. Responsible for the arsenal and facility switchboard.
7. Schedule and supervise all activities in the visiting room, package room, identification office and guard room under direction of proper authority.
8. Supervise grounds surrounding the administration building.
9. Perform any other duties as directed by proper authority.

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerical order under each heading as appropriate.)

Attitudes: Must have a keen interest and perseverence in carrying out his responsibilities and an appreciation for the problems of all of the people he comes in contact with.

Knowledges: Must have a thorough knowledge of the rules and policies of the department and the facility, of counseling techniques, human relations and good housekeeping.

Skills: Must have the ability to put the knowledge he possesses into practice in such a manner that he will meet the objectives of his area and the facility, maintain a high degree of morale, and gain ready cooperation from the people he has contact with in spite of their varied interests.

Note: In case of insufficient space, complete any of above sections

D. INDIVIDUAL POST DESCRIPTION

Facility Clinton Correctional Facility Date November 1, 1971
Title of Positions Assigned to Post Correction Officer II
Post: No. 14 Designation Special Housing Unit 14, 7:20

Purpose of Post: (Over-all, summary narrative description.)

Provide first line supervision for Special Housing Unit 14 on the 7:20 shift.

Duties: (List in numerical order.)

1. Supervise all activities and programs that take place in SHU 14 on the 7:20 to 3:20 shift.
2. Attempt to keep lines of communication open between the administration and employees.
3. Instruct and supervise officers in the performance of their duties and inform them of any changes in the laws, rules and policies effecting their duties.
4. Escort SHU 14 inmates to other parts of the institution when a supervisor is required (hospital, attorney visits, etc.) and make certain that rules and regulations governing these moves are adhered to.
5. Make certain that inmates in SHU 14 are properly fed, clothed, exercised and that authorized programs are carried out.
6. Maintain a log of all activities, visits by employees or others, and incidents which occur in his unit.
7. Escort doctor on his rounds of Unit 14 and insure that doctor's directives are carried out.
8. Perform any other duties as directed by proper authority.

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerical order under each heading as appropriate.)

Attitudes: Must have a keen interest and perseverence in carrying out his responsibilities and an appreciation for the problems of all of the people he comes in contact with.

Knowledges: Must have a thorough knowledge of the rules and policies of the department and the facility, of counseling techniques, human relations and good housekeeping.

Skills: Must have the ability to put the knowledge he possesses into practice in such a manner that he will meet the objectives of his area and the facility, maintain a high degree of morale, and gain ready cooperation from the people he has contact with in spite of their various interests.

Note: In case of insufficient space, complete any of above sections on reverse of this page.

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D. INDIVIDUAL POST DESCRIPTION

Facility Clinton Correctional Facility Date
Title of Position Assigned to Post: Cell Block Sergeant
Post: No. West Designation 3:20
#6

Purpose of Post: (Over-all, summary narrative description.)

To provide first-line supervision for housing units on the west side of the institution on the 3:20 to 11:20 shift. Housing units to include A, F, G, H, K Blocks, laundry building and messhall (after 6:00 P.M.).

Duties: (List in numerical order.)

1. Supervise all activities and programs that take place in his area on the 3:20 shift.
2. Attempt to keep lines of communication open between the administration and employees.
3. Instruct and supervise officers in the performance of their duties and inform them of any changes in the laws, rules and policies effecting their duties.
4. Supervise movement of inmates from his area to the messhall at the evening meal to see that rules governing safety and security are observed. Controls flow of traffic to and from the messhall on the west side.
5. Checks housing units in his area during his tour of duty to insure that officers in these units are properly performing their assigned duties.
6. Is responsible for cleanliness, proper ventilation and good order of units under his supervision on the 3:20 shift.
7. Supervises the processing of incoming and outgoing drafts during his tour of duty.
8. Performs any other duties as directed by proper authority.
9. Carries out all orders and any other related duties as assigned by a supervisory officer.

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerical order under each heading as appropriate.)

Attitudes: Must have a keen interest and perseverance in carrying out his responsibilities and an appreciation for the problems of all of the people he comes in contact with.

Knowledges: Must have a thorough knowledge of the rules and policies of the department and the facility, of counseling techniques, human relations and good housekeeping.

Skills: Must have the ability to put the knowledge he possesses into practice in such a manner that he will meet the objectives of his area and the facility, maintain a high degree of morale, and gain ready cooperation from people he has contact with in spite of their varied interests.

Note: In case of insufficient space, complete any of above sections

D. INDIVIDUAL POST DESCRIPTION

Facility Clinton Correctional Facility Date [illegible]
Title of Positions Assigned to Post Corr. Sergeant
Post: No. West 6 Designation Cell Block Sergeant 7:20

Purpose of Post: (Over-all, summary narrative description.)

Provides first-line supervision for regular housing units.

Duties: (List in numerical order.)

1. Checks A, F, G, H and J blocks housing daily to see that the officers in these areas are properly performing their assigned duties.
2. Instructs officers in their duties and informs them of changes in laws, rules and policies effecting their duties.
3. Attempts to keep lines of communications between the administration and correction officers open.
4. Assures that a high degree of cleanliness is maintained in the housing areas and that each cell is provided with proper furnishings.
5. Insures that inmates in these areas are properly supervised, living in safe and sanitary conditions and are properly cared for.
6. Covers the messhall while the population is being fed on the west side of the facility.
7. Is responsible for the condition of the corridors on the west side of the facility.
8. Insures that schedules are properly adhered to.
9. Supervises the issue of personal property to inmates in reception.
10. Supervises incoming and outgoing drafts during his tour of duty.
11. Conducts investigations and carries out all orders and any other related duties as assigned by a supervisory officer.

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerical order under each heading as appropriate.)

Attitudes: Must have a keen interest and perseverance in carrying out his responsibilities and an appreciation for the problems of all of the people he comes in contact with.

Knowledges: Must have a thorough knowledge of the rules and policies of the department and the facility, of counseling techniques, human relations and good housekeeping.

Skills: Must have the ability to put the knowledge he possesses into practice in such a manner that he will meet the objectives of his area and the facility, maintain a high degree of morale, and gain ready cooperation from the people he has contact with in spite of their varied interests.

Note: In case of insufficient space, complete any of above sections on reverse of this page.

PL. EXH. 1-PLAINTIFFS' FIRST INTERROGATORIES TO DEFENDANTS

D. INDIVIDUAL POST DESCRIPTION

Facility Clinton Date
Title of Positions Assigned to Post
Post: No. 5 Designation

Purpose of Post: (Over-all, summary narrative description.)

To provide first-line supervision for the entire institution on the 11:20 P.M. to 7:20 A.M. shift.

Duties: (List in numerical order.)

1. Under direction of a Correction Lieutenant, supervise activities of the institution on the 11:20 shift.
2. Maintain lines of communication between the administration and employees.
3. Instruct and supervise officers in the performance of their duties and inform them of any changes in the laws, rules and policies effecting their duties.
4. Checks all housing units and wall posts during his tour of duty to see that officers are properly performing their assigned duties.
5. As directed by proper authority, check outside areas of the institution as needed on the 11:20 shift.
6. Is responsible for cleanliness, proper ventilation and good order of housing units on the 11:20 shift.
7. Supervise the operation of messhall from 6:00 A.M. until relieved by the day supervisor.
8. Perform any other duties as directed by proper authority.

[Xeroxed copy outlined by attorney - SbA]

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerical order under each heading as appropriate.)

Attitudes: Must have a keen interest and perseverance in carrying out his responsibilities and an appreciation for the problems of all of the people he comes in contact with.

Knowledges: Must have a thorough knowledge of the rules and policies of the department and the facility, of counseling techniques, human relations and good housekeeping.

Skills: Must have the ability to put the knowledge he possesses into practice in such a manner that he will meet the objectives of his area and the facility, maintain a high degree of morale, and gain ready cooperation from the people he has contact with in spite of their varied interests.

Note: In case of insufficient space, complete any of above sections on reverse of this page.

D. INDIVIDUAL POST DESCRIPTION

Facility Clinton Correctional Facility Date Oct. 13, 1972
Title of Positions Assigned to Post Corr. Sergeant
Post: No. East 5 Designation Cell Block Sergeant 3:00

Purpose of Post. (Over-all, summary narrative description.)

To provide first-line supervision for housing units on the east side of the institution on the 3:20 to 11:20 shift. Housing units to include B, C, D, E Blocks and the hospital and mess hall .

Duties: (List in numerical order.)

1. Supervise all activities and programs that take place in his area on the 3:20 shift.
2. Attempt to keep lines of communication open between the administration and the employees.
3. Instruct and supervise officers in the performance of their duties and inform them of any changes in the laws, rules and policies effecting their duties.
4. Assumes the duties of the mess hall sergeant from 3:00 p.m. to closing.
5. Checks housing units during the 3:20 shift to insure that the officers in these units are properly performing their assigned duties.
6. Is responsible for cleanliness, proper ventilation and good order of the units under his supervision on the 3:20 shift.
7. Carries out all orders and any other related duties as assigned by a supervisory officer.

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerical order under each heading as appropriate.)

Attitudes: Must have a keen interest and perseverance in carrying out his responsibilities and an appreciation for the problems of all of the people he comes in contact with.

Knowledges: Must have a thorough knowledge of the rules and policies of the department and the facility, of counseling techniques, human relations and good housekeeping.

Skills: Must have the ability to put the knowledge he possesses into practice in such a manner that he will meet the objectives of his area and the facility, maintain a high degree of morale, and gain ready cooperation from the people he has contact with in spite of their varied interests.

Note: In case of insufficient space, complete any of above sections

D. INDIVIDUAL POST DESCRIPTION

Facility: Clinton Correctional Facility Date: Oct. 19, 1972

Title of Position: Assistant Deputy Superintendent

Post: No. Post Designation: Cell Block Supervisor

7:20

Purpose of Post: (Over-all, summary narrative description.)

Provides first-line supervision for regular housing units.

Duties: (List in numerical order.)

1. Checks B, C, D and E Blocks housing units daily to see that the officers in these areas are properly performing their assigned duties.
2. Instructs officers in their duties and informs them of changes in laws, rules, and policies affecting their duties.
3. Attempts to keep lines of communication between the administration and correction officers open.
4. Assures that a high degree of cleanliness is maintained in the housing areas and that each cell is provided with proper furnishings.
5. Insures that inmates in these areas are properly supervised, living in safe living and sanitary conditions and are properly cared for.
6. Covers the messhall while the population is being fed on the east side of the facility.
7. Is responsible for the condition of the corridors on the east side of the facility.
8. Insures that schedules are properly adhered to.
9. Supervises the A.M. recreation yard daily and Auditorium P.M. on holiday schedule.
10. Conducts investigations and carries out all orders and any other related duties as assigned by a supervisory officer.

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerical order under each heading as appropriate.)

Attitudes: Must have a keen interest and perseverance in carrying out his responsibilities and an appreciation for the problems of all of the people he comes in contact with.

Knowledges: Must have a thorough knowledge of the rules and policies of the department and the facility, of counseling techniques, human relations and good housekeeping.

Skills: Must have the ability to put the knowledge he possesses into practice in such a manner that he will meet the objectives of his area and the facility, maintain a high degree of morale, and gain ready co-operation from the people he has contact with in spite of their varied interests.

Note: In case of insufficient space, complete any of above sections on reverse of this page.

D. INDIVIDUAL POST DESCRIPTION

Facility Clinton Correctional Facility Date Oct. 10, 1972
Title of Position Assigned to Post Correction Sergeant
Post No 4 Designation Messhall Sergeant
7:00 - 3:00

Purpose of Post: (Over-all, summary narrative description.)

Provide first-line supervision for the messhall building.

Duties: (List in numerical order.)

1. Insure that messhalls are properly prepared to receive the general population.
2. Supervise all areas of the messhall building to insure that a high degree of cleanliness is maintained.
3. Checks to insure that food is palatable and properly served.
4. Checks messhalls, kitchen, storeroom, auditorium and toy shop daily to insure that officers are properly performing their duties.
5. Instructs officers in their duties and informs them of any changes in laws, rules, and policies effecting their duties.
6. Attempts to keep lines of communication open between the administration and correction officers.
7. Insures that inmates in his areas are properly supervised, working under safe conditions and are properly cared for.
8. Conducts investigations and carries out all orders and any other related duties as assigned by a supervisory officer.

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerical order under each heading as appropriate.)

Attitudes: Must have a keen interest in carrying out his responsibilities, very high standards for cleanliness, and an appreciation for the problems of inmates, officers and civilian employees.

Knowledges: Must have a thorough knowledge of rules and policies of the department and the facility, of counseling, human relations and general knowledge of the food services process and the objectives of his area.

Skills: The ability to put the knowledge he possesses into practice in such a manner that he will meet the objectives of his area and the facility, maintain a high degree of morale and gain ready cooperation from the people he has contact with in spite of their varied interests.

Note: In case of insufficient space, complete any of above sections on reverse of this page.

4. INDIVIDUAL POST DESCRIPTION Facility Clinton Correctional Facility Date
Title of Position Assigned to: Correction Officer
Post No. 3 Designated as Hospital Officer

Purpose of Post: (Over-all, summary narrative description.)

To provide for first-line supervision for the hospital building and adjacent areas.

Duties: (List in numerical order.)

1. Supervise messhall in the morning, insure that breakfast is ready to be served and messhall is prepared to receive the inmates who eat early breakfast.
2. Supervise hospital sick call, and supervise second mess in the messhall at noon.
3. Checks all areas of the hospital building, Catholic Church, and the grounds in the Northeast section of the facility in the area from Wall Tower #4 north to the back wall and west to Wall Tower #7, then to the North Yard Gate to insure that all officers are properly performing their duties.
4. Instructs officers in their duties and informs them of any changes in laws, rules and policies effecting their duties.
5. Acts as a liaison between the hospital medical staff and the custodial force.
6. Sees that inmates in his area are properly supervised, working under safe conditions, and properly cared for.
7. Attempts to keep lines of communication open between the administration and the correction officers.
8. Conducts investigations and performs other duties as assigned by proper authority.

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerical order under each heading as appropriate.)

Attitudes:

Must have a keen interest in carrying out his responsibilities and an appreciation for the problems of inmates, officers and civilian employees.

Knowledges:

Must have a thorough knowledge of the rules and policies of the department and the facility, of counseling, human relations and a general knowledge of the medical processes and objectives of thehospital.

Skills:

The ability to put the knowledge he possesses into practice in such a manner that he may meet the objectives of his area and the facility, maintain a high degree of morale, and gain the ready cooperation from the people he has contact with in spite of their varied interests.

Note: In case of insufficient space, complete any of above on reverse of this page.

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INDIVIDUAL POST DESCRIPTION

Facility Clinton Correctional Facility Date

Title of Positions Assigned to Post Correction Lieutenant

Post: No. 2 Designation Shop Sergeant

Purpose of Post: (Over-all, summary narrative description.)

To provide first-line supervision for the industrial building, including the school.

Duties: (List in numerical order.)

Checks each of the industrial shops, school, print shop and maintenance areas in the industrial building and wire gate daily to insure that officers are properly performing their duties.
Maintains lines of communication open between the administration and the employees.
Instructs officers in their duties and inform them of any changes in the laws, rules and policies effecting their duties.
Acts as a liason between industrial foremen, teachers and other civilian industrial employees and the custodial force.
Insures that the inmates working in these areas are properly supervised, are working under safe conditions and are properly cared for.
Assists in supervision of messhalls and kitchen during meals as directed.
Supervises shop yard while inmates are in transit to and from shops.
Is responsible for grounds in the area from East wall to Wire gate and from blocks to the South wall.
Conducts investigations and performs other duties as directed by proper authority.

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerical order under each heading as appropriate.)

Attitudes: Must have a keen interest in carrying out his responsibilities and an appreciation for the problems of inmates, officers, and civilian employees.

Knowledges: Must have a thourogh knowledge of the rules and policies of the department and the facility, of counseling, human relations and a general knowledge of the industrial process and school programs and their objectives.

Skills: Must have the ability to put the knowledge he possesses into practice in such a manner that he will meet the objectives of his area and the facility, maintain a high degree of morale, and gain ready cooperation from the people he has contact with in spite of their varied interests.

Note: In case of insufficient space, complete any of above sections on reverse of this page.

A. CUSTODIAL POST CHART

Facility Clinton Correctional Date 7/14/72 Page 3

Title(s) of Positions Assigned to Posts on this Page
Correction Sergeant

No.	POSTS Designation	Class	Days Per Week	Shift Hours and Number of Men Each Shift 7:00 3:00	7:20 3:20	7:45 5:45	10:00 6:00	3:20 11:20	11:20 7:20			Total Men Per Day	Total Positions with Relief
2	Shop Sergeant		5		1							1	1.2
4	Hospital Sergeant		7	1								1	1.7
-	Mess Hall Sergeant		7				1					1	1.7
7	E. Cell Hall Sergeant		7		1			1	1			3	5.1
5	W. Cell Hall Sergeant		7		1			1				2	3.4
7	Yard Sergeant		7			1						1	1.7
9	O/S Main Sergeant		7		1							1	1.7
11	Adm. Bldg. Sergeant		7			1						1	1.7
12	SHU Sergeant		7		1							1	1.7
								GRAND TOTAL				12	19.9
													say 20

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D. INDIVIDUAL POST DESCRIPTION	FACILITY ATTICA CORRECTIONAL DATE 3/27/72 Title of Positions Assigned to Post [illegible] Post: No. 10 Designation [illegible] Construction (S-1) (T.S.)

Purpose of Post:

Control, security and rehabilitation of inmate population within the areas of his post and general operation of the areas.

Duties:

1. Supervises custody, security and general well-being of the inmate population within construction areas.
2. Supervision of construction areas and outside adjacent areas.
3. Ascertain that rules and regulations of the department are complied with.
4. Performs any other related duties as assigned by competent authority.
5. Responsible for cleanliness of area supervised.

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerica order under each heading as appropriate.)

Attitudes:

1. Desires to ascertain that no breach of security in any areas of his post.
2. Desire to obtain a high standard of operating efficiency.

Knowledges:

1. Familiar with all aspects of a correctional facility operation.

Skills:

1. Adept at the varied aspects of operating the correctional facility to insure efficient operation.

D. INDIVIDUAL POST DESCRIPTION

FACILITY ATTICA CORRECTIONAL [illegible]
Title of Positions Assigned to Post:
Post: No. _____ Designation [illegible]

Purpose of Post:

General, security and rehabilitation of inmate population within applicable rules and general operation of the prison.

Duties:

1. Supervision custody, security and general well-being of the inmate population within the assigned area.
2. Supervision of recreation buildings and hospital and outside adjacent areas.
3. Maintain that rules and regulations of the department are complied with.
4. Perform any other [illegible] as assigned by [illegible] authority.
5. Responsible for classification of case summaries.

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerical order under each heading, as appropriate.)

Attitudes:

1. Desires to ascertain that no breach of security in any areas of his post.
2. Desire to obtain a high standard of operating efficiency.

Knowledges:

1. Familiar with all aspects of a correctional facility operation.

Skills:

1. Adept at the various aspects of operating the correctional facility to insure effective operation.

D. INDIVIDUAL POST DESCRIPTION

FACILITY ATTICA CORRECTIONAL DATE [illegible]
Title of Positions Assigned to Post [illegible]
Post: No. _____ Designation [illegible]

Purpose of Post:

Control, security and rehabilitation of inmate population within the housing area and general operation of the prison.

Duties:

1. Supervises custody, security and general well-being of the inmate population within the housing areas.
2. Supervision of A Block, B Block recreation yard and outside adjacent areas.
3. Ascertain that rules and regulations of the department are complied with.
4. Performs any other related duties as assigned by competent authority.
5. Responsible for cleanliness of area supervised.

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerical order under each heading as appropriate.)

Attitudes:

1. Desires to ascertain that no breach of security in any areas of his post.
2. Desire to obtain a high standard of operating efficiency.

Knowledges:

1. Familiar with all aspects of a correctional facility operation.

Skills:

1. Adept at the varied aspects of operating the correctional facility to insure efficient operation.

D. INDIVIDUAL POST DESCRIPTION

FACILITY ATTICA CORRECTIONAL DATE [illegible]
Title of Positions Assigned to Post [illegible]
Post: No. [illegible] Designation [illegible]

Purpose of Post:

Control, security and rehabilitation of inmate population within applicable areas and general operation of the areas.

Duties:

1. Supervises custody, security and general well-being of the inmate population within the assigned areas.
2. Supervision of kitchen, mess halls, bakery, Officers Mess and laundry building and outside adjacent areas.
3. Ascertain that rules and regulations of the department are complied with.
4. Performs any other related duties as assigned by competent authority.
5. Responsible for cleanliness of area supervised.

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerical order under each heading as appropriate.)

Attitudes:

1. Desires to ascertain that no breach of security in any areas of his post.
2. Desire to obtain a high standard of operating efficiency.

Knowledges:

1. Familiar with all aspects of a correctional facility operation.

Skills:

1. Adept at the various aspects of operating the correctional facility to insure efficient operation.

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D. INDIVIDUAL POST DESCRIPTION

FACILITY ATTICA CORRECTIONAL DATE 2/27/72
Title of Positions Assigned to Post [illegible]
Post: No. [illegible] Designation [illegible]
Gangs and Areas (7:30 - 3:30)

Purpose of Post:

Control, Security and Rehabilitation of inmate population within working area and general operation of the areas.

Duties:

1. Supervises custody, security and general well being of the inmate population within work areas.
2. Supervision of wall posts, front gate, lock gates, outside gangs and outside adjacent areas.
3. Ascertains that rules and regulations of the department are complied with.
4. Performs any other related duties as assigned by competent authority.
5. Responsible for cleanliness of area supervised.

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerica order under each heading as appropriate.)

Attitudes:

1. Desires to ascertain that no breach of security in any areas of his post.
2. Desire to obtain a high standard of operating efficiency.

Knowledges:

1. Familiar with all aspects of a correctional facility operation.

Skills:

1. Adept at the varied aspects of operating the correctional facility to insure efficient operation.

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D. INDIVIDUAL POST DESCRIPTION	FACILITY ATTICA CORRECTIONAL DATE 3/20/72 Title of Positions Assigned to Post [illegible] Post: No. 2 Designation [illegible]

Purpose of Post:

Control, security and rehabilitation of inmate population within the housing area and general operation of the areas.

Duties:

1. Supervises custody, security and general well-being of the inmate population within the housing areas.
2. Supervision of C Block, C Block Recreation Yard and outside adjacent areas.
3. Ascertain that rules and regulations of the department are complied with.
4. Performs any other related duties as assigned by competent authority.
5. Responsible for cleanliness of area supervised.

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerica order under each heading as appropriate.)

Attitudes:

1. Desires to ascertain that no breach of security in any areas of his post.
2. Desire to obtain a high standard of operating efficiency.

Knowledges:

1. Familiar with all aspects of a correctional facility operation.

Skills:

1. Adept at the varied aspects of operating the correctional facility to insure efficient operation.

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D. INDIVIDUAL POST DESCRIPTION

FACILITY ATTICA CORRECTIONAL DATE 3/5/73
Title of Positions Assigned to Post Correction Off.
Post: No. 3 Designation Supervision A&C Block Recreation Yard (9:20-5:

Purpose of Post:

Control, security and rehabilitation of inmate population within the housing area and general operation of the areas.

Duties:

1. Supervises custody, security and general well-being of the inmate population within the housing area.
2. Supervision of A&C Block, A&C Block Recreation Yard, Administration Building Annex and outside adjacent areas.
3. Ascertain that rules and regulations of the department are compiled with.
4. Performs any other related duties as assigned by competent authority.
5. Responsible for cleanliness of area supervised.

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerical order under each heading as appropriate.)

Attitudes:

1. Desires to ascertain that no breach of security in any areas of his post.
2. Desire to obtain a high standard of operating efficiency.

Knowledges:

1. Familiar with all aspects of a correctional facility operation.

Skill:

1. Adept at the varied aspects of operating the correctional facility to insure efficient operation.

D. INDIVIDUAL POST DESCRIPTION

FACILITY ATTICA CORRECTIONAL DATE: 3/9/73
Title of Positions Assigned to Post Corr. Sergeant
Post: No. 2 Designation Supervision A&C [illegible]

Purpose of Post:

Control, security and rehabilitation of inmate population within the housing area and general operation of the areas.

Duties:

1. Supervises custody, security and general well-being of the inmate population within the housing areas.
2. Supervision of A&C Block, A&C Recreation Yard, Administration Building Annex and outside adjacent areas.
3. Ascertain that rules and regulations of the department are compiled with.
4. Performs any other related duties as assigned by competent authority.
5. Responsible for cleanliness of area supervised.

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerical order under each heading as appropriate.

Attitudes:

1. Desires to ascertain that no breach of security in any areas of his post.
2. Desire to obtain a high standard of operating efficiency.

Knowledges:

1. Familiar with all aspects of a correctional facility operation.

Skills:

1. Adept at the varied aspects of operating the correctional facility to insure efficient operation.

D. INDIVIDUAL POST DESCRIPTION

FACILITY ATTICA CORRECTIONAL DATE 2/27/72
Title of Positions Assigned to Post [illegible]
Post: No. 2 Designation [illegible] (1-7)

Purpose of Post:

Control, security and rehabilitation of inmate population within the housing area and general operation of the areas.

Duties:

1. Supervises custody, security and general well-being of the inmate population within the housing areas.
2. Supervision of [illegible] Block, Administration Building Annex and outside adjacent areas.
3. Ascertain that rules and regulations of the department are complied with.
4. Performs any other related duties as assigned by competent authority.
5. Responsible for cleanliness of area supervised.

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerica order under each heading as appropriate.)

Attitudes:

1. Desires to ascertain that no breach of security in any areas of his.
2. Desire to obtain a high standard of operating efficiency.

Knowledges:

1. Familiar with all aspects of a correctional facility operation.

Skills:

1. Adept at the varied aspects of operating the correctional facility to insure efficient operation.

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D. INDIVIDUAL POST DESCRIPTION

FACILITY ATTICA CORRECTIONAL DATE
Title of Positions Assigned to Post
Post: No. 2 Designation

Purpose of Post:

Control, security and rehabilitation of inmate population within the housing area and general operation of the areas.

Duties:

1. Supervises custody, security and general well-being of the inmate population within the housing area and general operation of the areas.
2. Supervision of A Block, A Recreation Yard, Administration Building Annex and outside adjacent areas.
3. Ascertain that rules and regulations of the department are complied with.
4. Performs any other related duties as assigned by competent authority.
5. Responsible for cleanliness of area supervised.

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerica order under each heading as appropriate.)

Attitudes:

1. Desires to ascertain that no breach of security in any areas of his post.
2. Desire to obtain a high standard of operating efficiency.

Knowledges:

1. Familiar with all aspects of a correctional facility operation.

Skills:

1. Adept at the varied aspects of operating the correctional facility to insure efficient operation.

D. INDIVIDUAL POST DESCRIPTION

FACILITY ATTICA CORRECTIONAL DATE 3/27/72
Title of Positions Assigned to Post Correction Sergeant
Post: No. 1 Designation Supervision of Industry (C-4)

Purpose of Post:

Control, security and rehabilitation of inmate population within the Industrial Shops area and general operation of the areas.

Duties:

1. Supervise custody, security and general well-being of the inmate population within the Industrial Shops.
2. Supervision of industrial shops and outside adjacent areas.
3. Ascertain that rules and regulations of the department are complied with.
4. Performs any other related duties as assigned by competent authority.
5. Responsible for cleanliness of area supervised.

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerics order under each heading as appropriate.)

Attitudes:

1. Desires to ascertain that no breach of security in any areas of his post.
2. Desire to obtain a high standard of operating efficiency.

Knowledges:

1. Familiar with all aspects of a correctional facility operation.

Skills:

1. Adept at the varied aspects of operating the correctional facility to insure efficient operation.

D. INDIVIDUAL POST DESCRIPTION

FACILITY ATTICA CORRECTIONAL DATE 3/27/72
Title of Positions Assigned to Post Correction Lieutenant
Post: No. 1 Designation in charge of shift (11-7)

Purpose of Post:

Control, security and rehabilitation of inmate population within the facility and general operation of the 11PM - 7AM shift.

Duties:

1. Supervises custody, security and the general well-being of the inmate population.
2. Supervises and assigns correction officers and sergeants as applicable.
3. Ascertains that rules and regulations of the department are complied with.
4. Performs any other related duties as assigned by competent authority.

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerical order under each heading as appropriate.)

Attitudes:

1. Desires to ascertain that no breach of security develops in any area of the facility.
2. Desire to obtain a high standard of operating efficiency

Knowledges:

1. Familiar with all aspects of operating a correctional facility.

Skills:

1. Adept at the varied aspects of operating a correctional facility to insure efficient operation.

D. INDIVIDUAL POST DESCRIPTION

FACILITY ATTICA CORRECTIONAL DATE 3/27/72
Title of Positions Assigned to Post Correction Lieutenant
Post: No. 2 Designation Classification Board, Housekeeping & General Facility Duties.

Purpose of Post:

Control, security and rehabilitation of inmate population within the facility, member of the inmate classification board and general facility duties.

Duties:

1. Supervises custody, security and the general well-being of the inmate population.
2. Supervises and assigns correction officers and sergeants as applicable.
3. Ascertains that rules and regulations of the department are complied with.
4. Member of the inmate Classification Board.
5. Performs any other related duties as assigned by competent authority.

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerics order under each heading as appropriate.)

Attitudes:

1. Desires to ascertain that no breach of security develops in any area of this facility.
2. Desire to obtain a high standard of operating efficiently.

Knowledges:

1. Familiar with all aspects of operating a correctional facility.

Skills:

1. Adept at the varied aspects of operating a correctional facility to insure efficient operation.

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D. INDIVIDUAL POST DESCRIPTION

FACILITY ATTICA CORRECTIONAL DATE 3/27/72
Title of Positions Assigned to Post Correction Lieutenant
Post: No. 3 Designation Adjustment Committee and General Facility Duties.

Purpose of Post:

Control, security and rehabilitation of inmate population within the facility and operating of disciplinary program.

Duties:

1. Supervises custody, security and the general well-being of the inmate population.
2. Supervises and assigns correction sergeants and officers as applicable.
3. Presides over and conducts daily Adjustment Committee Hearings.
4. Ascertains that rules and regulations of the department are complied with.
5. Performs any other related duties as assigned by a supervising officer.

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerica ordor under each heading as appropriate.)

Attitudes:

1. Desires to ascertain that no breach of security develops in any area of the facility.
2. Desire to obtain a high standard of operating efficiency.

Knowledges:

1. Familiar with all aspects of operating a correctional facility.

Skills:

1. Adept at the varied aspects of operating a correctional facility to insure efficient operation.

D. INDIVIDUAL POST DESCRIPTION

FACILITY ATTICA CORRECTIONAL DATE 3/27/72
Title of Positions Assigned to Post Correction Lieutenant
Post: No. 4 Designation Relief for Deputy Superintendent and Captain and General Facility Duties

Purpose of post:

Control, security and rehabilitation of inmate population within the facility and relief for Deputy Superintendent and Captain and general facility duties.

Duties:

1. Supervises custody, security and the general well-being of the inmate population.
2. Supervises and assigns correction officers and sergeants as applicable.
3. Ascertains that rules and regulations of the department are complied with.
4. Officer in charge of the facility in the absence of higher ranking supervision.
5. Performs any other related duties as assigned by a supervising officer.

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerical order under each heading as appropriate.)

Attitudes:

1. Desires to ascertain that no breach of security develops in any area of the facility.
2. Desire to obtain a high standard of operating efficiency.

Knowledges:

1. Familiar with all aspects of operating a correctional facility.

Skills:

1. Adept at the varied aspects of operating a correctional facility to insure efficient operation.

D. INDIVIDUAL POST DESCRIPTION

FACILITY ATTICA CORRECTIONAL DATE 3/27/72
Title of Positions Assigned to Post Correction Sergeant
Post: No. A Designation Supervision 'A' Block Recreation Yard (9:20-5:20)

Purpose of Post:

Control, security and rehabilitation of inmate population within the housing area and general operation of the areas.

Duties:

1. Supervises custody, security and general well-being of the inmate population within the housing areas.
2. Supervision of A Block, A Block Recreation Yard, Administration Building Annex and outside adjacent areas.
3. Ascertain that rules and regulations of the department are complied with.
4. Performs any other related duties as assigned by competent authority.
5. Responsible for cleanliness of area supervised.

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerics order under each heading as appropriate.)

Attitudes:

1. Desires to ascertain that no breach of security in any areas of his post.
2. Desire to obtain a high standard of operating efficiency.

Knowledges:

1. Familiar with all aspects of a correctional facility operation.

Skills:

1. Adept at the various aspects of operating the correctional facility to insure efficient operation.

D. INDIVIDUAL POST DESCRIPTION

FACILITY ATTICA CORRECTIONAL DATE 3/27/72
Title of Positions Assigned to Post Correction Sergeant
Post: No. 2 Designation Supervision A Block (3-11)

Purpose of Post:

Control, security and rehabilitation of inmate population within the housing area and general operation of the areas.

Duties:

1. Supervises custody, security and general well-being of the inmate population within the housing areas.
2. Supervision of A Block, A Recreation Yard, Administration Building Annex and outside adjacent areas.
3. Ascertain that rules and regulations of the department are complied with.
4. Performs any other related duties as assigned by competent authority.
5. Responsible for cleanliness of area supervised.

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerics order under each heading as appropriate.)

Attitudes:

1. Desires to ascertain that no breach of security in any areas of his post.
2. Desire to obtain a high standard of operating efficiency.

Knowledges:

1. Familiar with all aspects of a correctional facility operation.

Skills:

1. Adept at the varied aspects of operating the correctional facility to insure efficient operation.

D. INDIVIDUAL POST DESCRIPTION

FACILITY [illegible]TIONAL DATE 3/27/72
Title of [illegible]signed to Post Correction Sergeant
Post: [illegible]signation Supervision C Block (3-11)

Purpose of Post:

Control, security and rehabilitation of inmate population within the housing area and general operation of the areas.

Duties:

1. Supervises custody, security and general well-being of the inmate population within the housing areas.
2. Supervision of C Block, C Recreation Yard and outside adjacent areas.
3. Ascertain that rules and regulations of the department are complied with.
4. Performs any other related duties as assigned by competent authority.
5. Responsible for cleanliness of area supervised.

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerica order under each heading as appropriate.)

Attitudes:

1. Desires to ascertain that no breach of security in any areas of his post.
2. Desires to obtain a high standard of operating efficiency.

Knowledges:

1. Familiar with all aspects of a correctional facility operation.

Skills:

1. Adept at the varied aspects of operating the correctional facility to insure efficient operation.

D. INDIVIDUAL POST DESCRIPTION

FACILITY ATTICA CORRECTIONAL DATE 3/27/72
Title of Positions Assigned to Post Correction Sergeant
Post: No. 9 Designation Supervision Reception Building and Hospital (11 - 7) (I.S.)

Purpose of Post:

Control, security and rehabilitation of inmatepopulation within applicable areas and general operation of the areas.

Duties:

1. Supervises custody, security and general well-being of the inmate population within the assigned areas.
2. Supervision of reception building and hospital and outside adjacent areas.
3. Ascertain that rules and regulations of the department are complied with.
4. Performs any other related duties as assigned by competent authority.
5. Responsible for cleanliness of area supervised.

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerical order under each heading as appropriate.)

Attitudes:

1. Desires to ascertain that no breach of security in any areas of his post.
2. Desire to obtain a high standard of operating efficiency.

Knowledges:

1. Familiar with all aspects of a correctional facility operation.

Skills:

1. Adept at the varied aspects of operating the correctional facility to insure efficient operation.

D. INDIVIDUAL POST DESCRIPTION

FACILITY ATTICA CORRECTIONAL DATE 3/27/72
Title of Positions Assigned to Post Correction Sergeant
Post: No. 9 Designation Supervision Reception Building and Hospital (3 -11) (F.S.)

Purpose of Post:

Control, security and rehabilitation of inmate population within applicable areas and general operation of the areas.

Duties:

1. Supervises custody, security and general well-being of the inmate population within the assigned areas.
2. Supervision of reception building and hospital and outside adjacent areas.
3. Ascertain that rules and regulations of the department are complied with.
4. Performs any other related duties as assigned by competent authority.
5. Responsible for cleanliness of area supervised.

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerical order under each heading as appropriate.)

Attitudes:

1. Desires to ascertain that no breach of security in any areas of his post.
2. Desire to obtain a high standard of operating efficiency.

Knowledges:

1. Familiar with all aspects of a correctional facility operation.

Skills:

1. Adept at the varied aspects of operating the correctional facility to insure efficient operation.

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A. CUSTODIAL POST CHART

Facility Attica Correctional Date 3/17/71 Page 3

Title(s) of Positions Assigned to Posts on this Page Correction Sergeant

POSTS		Days Per Week	Shift Hours and Number of Men Each Shift								Total Men Per Day	Total Positions With Relief
Designation	Class		11:00 7:00	7:00 3:00	8:00 11:00	9:00 5:00	3:00 11:00					
Tel. Room	A	5			1						1	1.2
Supv. - A Block	A	7	1	1			(1)				3	5.1
Supv. - C Block	A	7		1			(1)				2	3.4
Supv. - A Tier Y-1	A	7				(1)					1	1.7
Supv. - C Tier Y-1	A	7				(1)					1	1.7
Cellhouse Assignment	A	7				1					1	1.7
Kitchen, Mess Hall & Laundry	A	7				1					1	1.7
Supv. - E Block	A	7				1					1	1.7
Reception Bldg. & Hospital	A	7	T.S. X	1			T.S. Y				3	3.4 T.S. 1.7
Control Room	A	5			T.S. X						1	1.2 T.S.
								TOTALS:				24.5
												19.9

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A. CUSTODIAL POST CHART

Facility Attica C.F. Date 3/5/73 Page 1

Title(s) of Positions Assigned to Posts on this Page
Correction Sergeant

POSTS			Days Per Week	Shift Hours and Number of Men Each Shift							Total Men Per Day	Total Positions With Relief
No.	Designation	Class		11:00 7:00	7:00 3:00	8:00 4:00	9:20 5:20	3:00 11:00				
1	Industries	A	5			1					1	1.2
2	Supv. A&C Blk. yard	A	7	1	2			1			4	6.8
3	Supv. A&C Block	A	7				1				1	1.7
4	Outside Assign.	A	7				1				1	1.7
5	Kitchen, Mess & Laundry	A	7				1				1	1.7
6	Supv. E Block	A	7				1				1	1.7
7	Reception Bldg. & Hospital	A	7		1						1	1.7
										Total		16.5

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D. INDIVIDUAL POST DESCRIPTION

Facility Angola Correctional Date March 10, 1972
Title of Position Assigned to Post Correction Sergeant
Post: No. 1 Designation ~~Chart Sergeant~~ - Main Yard
~~(Main Yard)~~ C & D Blocks

Purpose of Post: (Over-all, summary narrative description.)

This post is designated with the responsibility of supervising and monitoring all scheduled activites of inmates and Officers in the Main Recreation Yard and supplying and supervising the necessary custodial personnel needed for miscellaneous details in the daily operation of the Facility. He is responsible for C & D Blocks.

Duties: (List in numerical order.)

1. It is the duty of this Sergeant to supervise Officers and inmates in the Main recreation yard. He must assign Officers to gyard posts in the Yard maintaining proper coverage at all times. He is responsible for having the recreation yard oper at specified times, according to schedule. He must supervise inmate formations while entering and leaving the Main recreation Yard.

2. The main recreation yard area is often used for movement of inmates in formation to mess halls and to shop and school assignments. Proper supervision of the yard must be maintained during this period and this is the sole responsibility of the Main Yard Chart Sergeant.

3. It is the duty of this Sergeant to assume the responsibility of proper maintenance of the physical aspect of the yard areas. The yard must be kept clean and all recreation equipment must be maintained in proper working order. Recreational supplies and equipment are the responsibility of the Main yard chart sergeant.

4. It is the duty of the Chart Sergeant - Main yard to control and maintain a current roster of all Officers assigned for duty in his area and other areas of his responsibility. All requests for coverage of miscellaneous details which occur daily are referred to this Sergeant for disposition as all miscellaneous Officers are assigned to his area pending their assignment by the Sergeant to necessary details.

5. It is the duty of this Sergeant to arrange proper coverage of special events as requested by proper authority such as movies, Chapel services, recreational events, outside entertainment, etc.

6. It is the duty of this Sergeant upon proper notification to prepare necessary supplies, materials, cell equipment for incoming drafts of inmates.

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerical order under each heading as appropriate.)

Attitudes:

1. Must display a genuine interest in the treatment of inmates and have understanding of their problems and concerns.
2. Must be calm and self assured.
3. Must have sound judgement, display tact and diplomacy in treatment of inmates and Officers.
4. Must realize the degree of responsibility necessary in this assignment.

Knowledges:

1. Must have a comprehensive knowledge of all rules and regulations and policies of the facility.
2. He must be familiar with all personnel assigned to his area, their posts, duties and responsibilities.
3. In the event of a disorder, he must be familiar with procedures to be followed in securing his area of responsibility.

Skills:

1. He must be able to supervise custodial personnel assigned to his area.
2. He must be able to counsel inmates on any problems which they might have and properly advise them.

Note: In case of insufficient space, complete any of above sections on reverse of this page.

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7. This Sergeant is responsible for C & D Block cell housing area. He is responsible for the custody, security and general well being of inmates confined in these cell blocks. In addition, this Sergeant monitors and controls movement to and from these blocks.

D. INDIVIDUAL POST DESCRIPTION

Facility Auburn Correctional Date March 10, 1972
Title of Positions Assigned to Post Correction Sergeant
Post: No. 92 Designation Night tour - 12-8 shift

Purpose of Post: (Over-all, summary narrative description.)

It is the purpose of this post to assist the night Watch Commander in supervising personnel assigned to this shift and overseeing the operation of the Facility during the hours of his tour of duty.

Duties: (List in numerical order.)

1. It is the duty of this Sergeant to assist the Watch Commander in seeing that the custody and security of the Facility and general well being of the inmates is adhered to.
2. It is the duty of this Sergeant to assist in covering the opening of the kitchen and Mess Halls in the morning hours for the preparation of the breakfast meal. He also assists in the supervision of the serving of this meal.
3. He assists in supervising the movement of Work Release inmates to and from the Facility during his tour of duty.
4. He must assist the Watch Commander in investigating all emergencies which occur during his tour of duty and take appropriate action as directed.
5. It is his duty to see that the night check counts are taken by personnel assigned in the prescribed manner.
6. It is his duty to stay in the Front Hall while the Watch Commander is in the Facility making his rounds checking security and alertness of personnel assigned.
7. It is his duty to see that inmates are properly supervised throughout the night time and that good order is maintained.
8. It is the duty of this Sergeant to supervise the movement of inmates from housing blocks to the Hospital when the need arises during his tour of duty.
9. Upon the direction of the Watch Commander, it is the duty of the Sergeant to make the security check round of Segregation and check personnel assigned to see that all rules and regulations are being complied with.
10. It is the duty of this Sergeant to take all telephone calls received at the Facility in the absence of the Watch Commander while on rounds.

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerical order under each heading as appropriate.)

Attitudes:

1. Must be fair and impartial in administering the assignments of Officers.
2. Must have sound judgement, display tact and diplomacy in dealing with Officers and inmates.
3. Must realize the degree of responsibility necessary to perform the functions of this position.

Knowledges:

1. Must have a comprehensive working knowledge of the assignment charts, rules and regulations and policies of the Facility.
2. In the event of a disorder, must be familiar with procedures to be followed in handling various situations which may arise.

Skills:

1. Must be skilled in supervising all custodial personnel.
2. Must know how to counsel inmates on problems which may rise during his tour of duty.

Note: In case of insufficient space, complete any of above sections on reverse of this page.

D. INDIVIDUAL POST DESCRIPTION

Facility Auburn Correctional Date March 10, 1972
Title of Positions Assigned to Post Correction Sergeant
Post: No. 2 Designation Night Tour - 4-12 Shift

Purpose of Post: (Over-all, summary narrative description.)

It is the purpose of this post to assist the night Watch Commander in supervising personnel assigned to this shift and overseeing the operation of the Facility during the hours of his tour of duty.

Duties: (List in numerical order.)

1. It is the duty of this Sergeant to assist in covering the closing of the Facility in the afternoon. He also assists in covering the afternoon meal in the Mess Halls where needed.

2. It is his duty to assist the Watch Commander in seeing that the custody, security of the Facility and general well being of the inmates is adhered to.

3. He assists in supervising the movement of Work Release inmates to and from the Facility during his tour of duty.

4. He must assist the Watch Commander in investigating all emergencies which occur during his tour of duty and take appropriate action as directed.

5. It is his duty to see that the night check counts are taken by personnel assigned in the prescribed manner.

6. It is his duty to stay in the Front Hall while the Watch Commander is in the Facility making his rounds checking security and alertness of personnel assigned.

7. It is his duty to see that inmates are properly supervised throughout the evening and that good order is maintained.

8. It is the duty of this Sergeant to supervise the movement of inmates from housing blocks tothe Hospital when the need arises during his tour of duty.

9. Upon direction of the Watch Commander, it is the duty of the Sergeant to make the 8 PM medication round in Segregation and check personnel assigned to see that all rules and regulations are being complied with.

10. It is the duty of this Sergeant to take all telephone calls received at the Facility in the absence of the Watch Commander while on rounds.

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerical order under each heading as appropriate.)

Attitudes:

1. Must be fair and impartial in administering the assignments of Officers.
2. Must have sound judgment, display tact and diplomacy in dealing with Officers and inmates.
3. Must realize the degree of responsibility necessary to perform the functions of this position.

Knowledges:

1. Must have a comprehensive working knowledge of the assignment charts, rules and regulations and policies of the Facility.
2. In the event of a disorder, must be familiar with procedures to be followed in handling various situations which may arise.

Skills:

1. Must be skilled in supervising all custodial personnel.
2. Must know how to counsel inmates on problems which may arise during his tour of duty.

Note: In case of insufficient space, complete any of above sections on reverse of this page.

D. INDIVIDUAL POST DESCRIPTION

Facility Auburn Correctional Date March 10, 1972
Title of Positions Assigned to Post Correction Sergeant
Post: No. 87 Designation Industrial Shop Area and Wall Posts

Purpose of Post: (Over-all, summary narrative description.)

It is the purpose of this post to oversee the operation of the industrial shops for the maintenance of custody, security and general well being and safety of inmates assigned to work in this area. It is also the purpose of this post to inspect the wall posts periodically at irregular intervals.

Duties: (List in numerical order.)

1. It is the duty of this sergeant to assist in supervising the North Mess Hall for the breakfast meal and the movement of inmates to and from the Mess Hall area.

2. It is the duty of this Sergeant to proceed to the Shop gate and assist in counting the inmates through the gate on their way to the industrial shops.

3. It is the duty of this Sergeant to make a tour through the shops in the morning and afternoon to see that all Officers assigned are performing their duties in the prescribed manner, resolve any problems which may arise which can be handled at his level.

4. It is the duty of this Sergeant to supervise the shifting of railroad cars inand out of the Facility at noon time in accordance with established procedures.

5. When available, it is the duty of this Sergeant to cover the feeding of the noon meal in the North Mess Hall.

6. It is the duty of this Sergeant to see that a correct count of inmates assigned to the Shops is maintained at the shop gate at all times.

7. It is the duty of this Sergeant to inspect all wall posts and see that all posts are maintained in the proper manner, to make sure all rules and regulations are being adhered to and that all equipment is stored and cared for in the proper manner.

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerical order under each heading as appropriate.)

Attitudes:

1. Must display a genuine interest in the treatmentof inmates and have an understanding of their problems and concerns.
2. Must have sound judgment, display tact and diplomacy in treatment of Officers and inmates alike.
3. Must realize the degree of responsibility necessary in this assignment.

Knowledges:

1. Must have a comprehensive knolwedge of all rules and regulations and policies of the facility.
2. He must have a knowledge of all personnel assigned to his area, their posts, duties and responsibilities.
3. In the event of a disorder, he must be familiar with procedures to be followed in securing his area of responsibility.

Skills:

1. He must be able to supervise custodial personnel assigned to his area.
2. He must be able to counsel inmates on any problems which they might have and properly advise them.

Note: In case of insufficient space, complete any of above sections on reverse of this page.

D. INDIVIDUAL POST DESCRIPTION

Facility Auburn Correctional Date June 18, 1970
Title of Positions Assigned to Post Correction Sergeant
Post: No. 74 Designation Kitchen

Purpose of Post: (Over-all, summary narrative description.)
It is the purpose of this post to supervise the overall operation of the Kitchen and Mess Halls seeing that all inmates and Officers are performing their assigned duties. He is responsible for the cleanliness of the Kitchen and Mess Halls.

Duties: (List in numerical order)

1. He is responsible for the custody, security and well being of inmates assigned to the Kitchen area.
2. He must supervise the preparation and serving of breakfast. Supervise inmates working in the Kitchen. He must assist and instruct the Correction Officers assigned to the Kitchen and Mess Hall area.
3. He is responsible for cleanliness of Kitchen and all utensils used in the preparation and serving of food. Cleanliness must be strictly maintained by the Kitchen Sergeant.
4. He is responsible to see that food is served properly, that food is not wasted or pilfered.
5. He is responsible to see that Laundry and clean clothing are provided for Kitchen workers.
6. He is responsible for preparation of all meals and must be present for serving of breakfast and dinner.
7. He is responsible for "B" cell Block housing where Kitchen workers lock. Must check for security, cleanliness and proper operation of this cell block.
8. He is responsible for the Laundry, bath house and clothing room and Tailor Shop building. He must maintain the cleanliness, security and proper functioning of this area.
9. He is responsible for the storehouse building and proper storage of food supplies and materials. He must maintain the cleanliness and security in this area.

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerical order under each heading as appropriate.)

Attitudes:
1. Must display a genuine interest in the treatment of inmates and have an understanding of their problems and concerns.
2. Must have sound judgement, display tact and diplomacy in treatment of inmates and Officers.
3. Must realize the degree of responsibility necessary in this assignment.

Knowledges:
1. Must have a comprehensive knowledge of all rules and regulations and policies of the Facility.
2. He must be familiar with all personnel assigned to his area, their posts, duties and responsibilities.
3. In the event of a disorder, he must be familiar with procedures to be followed in securing his area of responsibility.

Skills:
1. He must be able to supervise custodial personnel assigned to his area.
2. He must be able to counsel inmates on any problems which they might have and properly advise them.

Note: In case of insufficient space, complete any of above sections on reverse of this page.

D. INDIVIDUAL POST DESCRIPTION

Facility Auburn Correctional Date March 10, 1972
Title of Positions Assigned to Post Correction Sergeant
Post: No. 2 1 Designation A & E Blocks & South Recreation Yard.
~~Assistant Chief~~ Cell Block Sergeant

Purpose of Post: (Over-all, summary narrative description.)

This post is charged with the responsibility of supervising and monitorin all scheduled activities of inmates and Officers in the South Recreation Yard, and adjacent housing blocks. He must assume responsibility for the custody, control, security and well being of inmates housed in cell blocks A & E.

Duties: (List in numerical order.)

1. It is the duty of this sergeant to supervise Officers and inmates in the South recreation yard. He must assign Officers to duty posts in the yard as necessary. He is responsible for having the recreation yard open at the specified times according to schedule. He must supervise inmate formations while entering and leaving the South recreation yard.

2. The South Yard Sergeant is responsible for the physical repair and cleanliness of the South Recreation Yard. Recreational equipment is under the supervision of this Sergeant.

3. The A & E Sergeant is responsible for the area of A & E cell housing Blocks. He is responsible for the custody, security and general well being of inmates confined in Cell Blocks A & E.

4. It is the duty of this Sergeant to proceed to the South Mess Hall at the noon meal and assist in supervising the feeding of this meal.

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerical order under each heading as appropriate.)

Attitudes:

1. Must display a genuine interest in the treatment of inmates and have an understanding of their problems and concerns.
2. Must be calm and self assured.
3. Must have sound judgment, display tact and diplomacy in the treatment of inmates and Officers.
4. Must realize the degree of responsibility necessary in this assignment.

Knowledges:

1. He must have a comprehensive knowledge of all rules and regulations and policies of the Facility.
2. He must be familiar with all personnel assigned to his area their posts, duties and responsibilities.
3. In the event of a disorder, he must be familiar with procedures to be followed in securing his area of responsibiliy.

Skills:

1. He must be able to supervise custodial personnel assigned to his area.
2. He must be able to counsel inmates on any problems which they might have and properly advise them.

Note: In case of insufficient space, complete any of above sections on reverse of this page.

D. INDIVIDUAL POST DESCRIPTION

Facility Auburn Correctional Date March 10, 1972
Title of Positions Assigned to Post Correction Sergeant
Post: No. 54 Designation Hospital & Administration Bldg.

Purpose of Post: (Over-all, summary-narrative description.)

It is the purpose of this post to properly supervise personnel assigned to the Hospital and Administration Building in the discharge of their duties. He must institute and supervise operatin procedures under the direction of higher authority.

Duties: (List in numerical order.)

1. It is his duty to supervise the feeding of the breakfast meal in the North Mess Hall and the movement of inmate formations to and from this area.

2. It is his duty to proceed to the First Aid room in the administration building and supervise "Sick Call" at 9:00 A.M. daily. It is also his duty to supervise the movement of any inmates from Segregation to First Aid or the Hospital for treatment.

3. He is responsible for the Hospital area. He must see that all rules and regulations established are being adhered to by personnel assigned.

4. He is responsible for the operation of the Package room. He must see that all rules regulations and policies are adhered to by personnel assigned there.

5. He is responsible for the cleanliness in the Administration Building and the security of the building.

6. It is the duty of this Sergeant to assist in maintaining proper control of inmate pick-ups for various reasons which are conducted in the lower hall and first aid rooms being certain that there are not too many inmates congregated at one time for security reasons.

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerical order under each heading as appropriate.)

Attitudes:

1. Must display a genuine interest in the treament of inmates and have understanding of their problems and concerns.
2. Must have sound judgment, display tact and diplomacy in the treatment of inmates and Officers.
3. Must realize the degree of responsibility necessary in this assignment.

Knowledges:

1. He must have comprehensive knowledge of all rules and regulations and policies of the Facility.
2. He must be familiar with all personnel assigned to his area so he may ascertain that all duties are being performed in the correct manner.
3. In the event of a disorder, he must be familiar with procedures to be followed in securing his area.

Skills:

1. He must be able to supervise cudtodial personnel assigned to his area.
2. He must be able to counsel inmates on any problems which they might have and properly advise them

Note: In case of insufficient space, complete any of above sections on reverse of this page.

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D. INDIVIDUAL POST DESCRIPTION

Facility Auburn Correctionnal Date June 14, 1971
Title of Positions Assigned to Post Correction Sergeant
Post: No. 42 Designation School

Purpose of Post: (Over-all, summary narrative description.)

It is this Sergeant's responsibility to supervise the custodial responsibilities in the proper operation of the School, in cooperation with the Director of Education.

Duties: (List in numerical order.)

1. The School Sergeant is responsible for the custody, security and general well being of inmates attending the school.

2. He is responsible to see that inmates move to the school area in an orderly manner and that inmates are accounted for properly. He must see that inmate movement in the school building is orderly and that inmates report to their proper classes without delay.

3. He is responsible for cleanliness and maintenance of the school building.

4. He must assist and instruct Correction Officers assigned to the School in the performance of their duties.

5. He is responsible for feeding of the Noon Meal in the main mess hall.

6. He is responsible for the correct count of inmates in the School area.

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerical order under each heading as appropriate.)

Attitudes:

1. Must display a genuine interest in the treatment of inmates and have an understanding of their problems and concerns.
2. Must have sound judgement, display tact and diplomacy in the treatment of inmates and Officers.
3. Must realize the degree of responsibility necessary in this assignment.

Knowledges:

1. Must have a comprehensive knowledge of all rules and regulations and policies of the Facility.
2. He must be familiar with all personnel assigned to his area, their posts, duties and responsibilities.
3. In the event of a disorder, he must be familiar with procedures to be followed in securing his area of responsibility.

Skills:

1. He must be able to supervise custodial personnel assigned to his area.
2. He must be able to counsel inmates on any problems which they might have and properly advise them.

Note: In case of insufficient space, complete any of above sections on reverse of this page.

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D. INDIVIDUAL POST DESCRIPTION

Facility Auburn Correctional Date April 25, 1972
Title of Positions Assigned to Post Corr. Sergeant
Post: No. 3 5- Designation Segregation

Purpose of Post: (Over-all, summary narrative description.)

The purpose of this post is to see that all Officers and inmates are supervised properly, that the facilities rules and regulations are being adhered to.

Duties: (List in numerical order.)

1. This Sergeant is responsible for the supervision of Officers and inmates assigned to Segregation. He must see that rules and regulations of Segregation are complied with.

2. He is responsible for security of the Segregation areas. He must see that contraband is not allowed in or out of Segregation. The Locking system and doors must be checked regularly under his supervision.

3. He is responsible to see that inmates are moved in Segregation with care to prevent injury to inmates and Officers from disorderly inmates.

4. He is responsible for the cleanliness of Segregation areas and for seeing that cells are properly equipped.

5. He is responsible to provide recreation and exercise, baths and clean clothing for inmates in Segregation.

6. He is responsible for serving of food to inmates in Segregation. He is to see that wholesome food is served in a sanitary and efficient manner.

7. He is responsible for custody, securtty and general well being of the inmates confined in Segregation.

8. He must assist and instruct Correction Officers assigned to Segregation.

9. The Segregation Sergeant is responsible for proceeding to the North Mess Hall and assist in supervising the feeding of the Noon meal and also supervises the feeding of the evening meal in the Mess Halls from 3:10 to 4:10 P.M. daily.

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerical order under each heading as appropriate.)

Attitudes:

1. Must display a genuine interest in the treatment of inmates and have an understanding of their problems and concerns.
2. Must be calm and self-assured.
3. Must have sound judgement, display tact and diplomacy in dealing with both Officers and inmates.
4. Must realize the degree of responsibility necessary in this assignment.

Knowledges:

1. He must have a comprehensive knowledge of the rules and regulations and policies of the Facility.
2. He must be familiar with all personnel assigned to his area, their posts, duties and responsibilities.

Skills:

1. He must be able to supervise custodial personnel assigned to his area.
2. He must be able to counsel inmates on any problems which they might have and properly advise them.

Note: In case of insufficient space, complete any of above sections on reverse of this page.

A. CUSTODIAL POST CHART

Facility Auburn Date 9/25/72 Page 3

Title(s) of Positions Assigned to Posts on this Page
Correction Sergeant

POSTS No.	Designation	Class	Days Per Week	Shift Hours and Number of Men Each Shift 6:30 2:30	7:20 3:20	8-4	10-6	pm 1-9	4-12	12-9		Total Men Per Day	Total Positions With Relief
1	Cell Block Sergeant		7				1					1	1.7
2	Segregation		7				1					1	1.7
3	School		7			1						1	1.7
4	Hospital & Administration	Bldg.	7		1							1	1.7
5	Recreation Yards		7				1					1	1.7
6	Kitchen & Mess	Halls	7	1								1	1.7
7	Industry & Wall	Posts	7			1						1	1.7
8	Night Tours		7						1	1		2	3.4
										TOTAL			15.3

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b.	INDIVIDUAL POST DESCRIPTION:	Facility _____ Date _____ Title of Positions Assigned to Post _____ Post: No. ____ Designation _____

Purpose of Post: (Over-all, summary narrative description.)

Supervision

Duties: (List in numerical order.)

1. Under the general direction of the Lieutenant, check the attendance & inspect the officers.
2. Inspect the institution for safety & security.
3. Supervise the early and population breakfast mess.
4. Record the activities of the 12-8 tour in log book and make necessary reports.
5. Check and verify counts with the Lieutenant in charge.
6. Supervise morning sick call.

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerical order under each heading as appropriate.)

Attitudes: 1. Firm, Fair, Cooperative.

Knowledges: 1. Departmental and institutional rules and regulations.

Skills: 1. Ability to supervise employees and inmates.

2. Ability to make decisions.

Note: In case of insufficient space, complete any of above sections on reverse of this page.

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D. INDIVIDUAL POST DESCRIPTION

Facility [illegible] Correctional Date [illegible]
Title of Positions Assigned to Post _____
Post: No. 8 Designation _____
Sergeant II-III.

Purpose of Post: (Over-all, summary narrative description.)

Supervision

Duties: (List in numerical order.)

1. Under the general direction of the Captain or Lieutenant I check the attendance and inspect the officers, give them special orders and information, assign them to posts of duty and supervision.
2. Inspect the institution for safety and security
3. Supe vise the population evening meal and farmers mess
4. Oversees all leisure time activities of the population which includes card games, radio and television programs, inside center court, hand ball courts, movies on Saturdays and holidays, gymnasium (weight lifting, basketball, volleyball, punching bags and games with visiting basketball teams) and groups of visiting entertainers.
5. Supervise rear yard recreation with 7 officers which is available to the whole population and includes baseball, softball, bocciball, horse shoe pitching, jogging swimming and visiting softball teams.
6. Record the activities of the day in the log book and make necessary reports.
7. Check and verify alll counts with the Captain or the Lieutenant in charge.
8. Other duties as assigned by competent authority.

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerical order under each heading as appropriate.)

Attitudes:
1. Firm, fair, cooperative.

Knowledges:
1. Departmental and institutional rules and regulations.
2. Emergency procedures.

Skills:
1. Ability to supervise employees and inmates.
2. Ability to make decisions.

Note: In case of insufficient space, complete any of above sections on reverse of this page.

D. INDIVIDUAL POST DESCRIPTION

Facility Peekskill CF Date _____
Title of Positions Assigned to Post _____
Post: No. 22 Designation _____
Correct Cpl.

Purpose of Post: (Over-all, summary narrative description.)

Area Supervision: Administration building, visiting room, arsenal, hospital, key room, package room, correspondence and front gate.

Duties: (List in numerical order.)

1. Supervision of officers and inmates assigned to these areas.
2. Instruct employees in their duties.
3. Responsible for security and sanitation.
4. Reception and processing of new inmates.
5. Assist with counts.
6. See that departmental and institutional rules are being followed.
7. Conduct investigation for Superintendents proceedings
8. Take care of visit, package and correspondence problems that can be handled at his level.
9. Supervise expanded arsenal.
10. Other duties as assigned by competent authority.

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerical order under each heading as appropriate.)

Attitudes:
1. Personal neatness
2. Firm, friendly demeanor

Knowledges:
1. Ability to keep records.
2. Departmental and institutional rules and regulations.
3. Knowledge of arsenal equipment and keys.

Skills:
1. Ability to relate to public.
2. Ability to supervise officers and inmates.
3. Ability to make decisions.
4. Ability to understand and get along with people.

Note: In case of insufficient space, complete any of above sections on reverse of this page.

SC

D. INDIVIDUAL POST DESCRIPTION

Facility [illegible] Date [illegible]
Title of Positions Assigned to Post [illegible]
Post: No. [illegible] Designation [illegible]

Purpose of Post: (Over-all, summary narrative description.)

Supervision of the Kitchen, Mess Hall, Laundry and State Shop.

Duties: (List in numerical order.)

1. Supervision of officers and inmates assigned to these areas.
2. Instruct employees in their duties.
3. See that departmental and institutional regulations are being followed.
4. Supervise feeding of population.
5. Responsible for security and sanitation.
   a. Supervise searching of kitchen, Laundry and State Shop areas
   b. See that cleanliness standards are maintained in assigned areas.
6. Conduct investigations for Superintendent's Proceedings.
7. Other duties as assigned by competent authority.

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerical order under each heading as appropriate.)

Attitudes:
1. Firm, fair, cooperative.
2. Demonstrated interest in Food Service Program.

Knowledges:
1. Departmental and institutional rules and regulations.
2. Food preparation and serving.
3. Sanitary procedures.

Skills:
1. Ability to supervise employees and inmates.
2. Ability to instruct subordinates.

Note: In case of insufficient space, complete any of above sections on reverse of this page.

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D. INDIVIDUAL POST DESCRIPTION

Facility [illegible] Date [illegible]
Title of Positions Assigned to Post [illegible]
Post: No. [illegible] Designation [illegible]

Purpose of Post: (Over-all, summary narrative description.)
Supervision of the housing, shop, and school areas

Duties: (List in numerical order.)

1. Supervision of officers and inmates assigned to these areas.
2. Instruct employees in their duties.
3. See that departmental and institutional regulations are being followed.
4. Responsible for security and sanitation.
   a. Supervise searching of cells & shops.
   b. See that cleanliness standards are maintained in these areas.
   c. Check loitering on galleries during working hours.
5. Other duties as assigned by competent authority.

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerical order under each heading as appropriate.)

Attitudes: 1. Firm, fair, cooperative.

Knowledges: 1. Department and institution rules and regulations.
2. Operation of various departments in area.

Skills: 1. Ability to supervise employees and inmates.

Note: In case of insufficient space, complete any of above sections on reverse of this page.

D. INDIVIDUAL POST DESCRIPTION:

Facility Wallkill Correctional Date [illegible]
Title of Positions Assigned to Post
Post: No. 1 Designation
Sergeant-Outside Supervision 8:00A.M. 4:00 P.M.

Purpose of Post: (Over-all, summary narrative description.)

Supervise all outside activities on the institution grounds.

Duties: (List in numerical order.)

1. See that all gangs are being properly supervised
2. Check with men assigned to outside patrol to see that all zones are continually being checked
3. See that institution garage, fire house, cannery, dairy barn, and various shops are all operating smoothly
4. Make sure that all vehicles are operated properly and safely, and are kept in good condition.
5. Be present at all fire drills to see how effectively they are carried out.
6. See that livestock and poultry area is properly supervised and maintain
7. See that safety & security measures are adequate and adhered to

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerical order under each heading as appropriate.)

Attitudes:

Knowledges:
Be familiar with rules governing inmates, & employees. Have a general knowledge of area bordering institution.

Skills:

Be familiar with operation of various vehicles.

Note: In case of insufficient space, complete any of above sections on reverse of this page.

A. CUSTODIAL POST CHART

Facility Tallhill Correctional Date 10/3/72 Page 3

Title(s) of Positions Assigned to Posts on this Page

Correction Counselor

POSTS			Days Per Week	Shift Hours and Number of Men Each Shift								Total Men Per Day	Total Positions With Relief
No.	Designation	Class		12-8	7-3	7:30 4:30	8-4	9:30 5:30	12:30 8:30	3:30 10:30	4-12		
1	Outside Supervision	B	7				1					1	1.7
2	Housing Shop & School	B	7				1					1	1.7
3	Kitchen, Mess Hall Laundry, State Hosp.	B	7		1							1	1.7
4	Adm. Bldg & Hosp.	B	7				1					1	1.7
5	Shift Sergeants	B	7	1							1	2	3.4
													10.2
												Recommend	10

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D. INDIVIDUAL POST DESCRIPTION

Facility Woodbourne Rehab Ctr. Date June 7th, 1973
Title of Position Assigned to Post [illegible]
Post: No. [illegible] Designation [illegible]

Purpose of Post: (Over-all, summary narrative description.)

Supervision of Correction Officers on the 12/8 a.m. shift. Charge of all activities at Woodbourne Rehabilitation Center during this period each night.

Duties: (List in numerical order.)

1. Relieve Lt. 4/12 Shift
2. Check attendance of 12/8 Shift. (Lineup).
3. Distribute interview sheets for 8/4 Program.
4. Detail Officers to carry out morning housing changes.
5. Detail Officers to get early Aftercare releases ready.
6. Recieve and record master Count.
7. Check that all Posts make their phone calls.
8. Make routine checks of all housing locations.
9. Make special check of kitchen and all shops. This is an extra fire check, ½ hours after regular routine check.
10. Make corrected copy of Shift duty roster for Deputy Supt.
11. Prepare and Post next days duty Roster. (12/8 Shift).
12. Aperove or disapprove requests for time off.
13. Help escort sick residents to Hospital.
14. Help escort residents needing disciplinary status to PSU.
15. Check attendance of 7/3 Shift until arrival of 7/3 Sgt.
16. Check early kitchen employees in.
17. Check kitchen between 5:30 and 6:00 a.m. to see that necessary items are available.
18. Approve any necessary changes in breakfast menu.
19. Be present and supervise in Mess Hall during breakfast meal.
20. Check early Aftercare releases to see that they are properly clothed, and they have their approved personal belongings.
21. Pass on to releiving supervisor any info of unusual occurances.
22. Make out various reports and forms as requested by supervisors.

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerical order under each heading as appropriate.)

Attitudes:
1. Conscious of value of a rehabilitative program.
2. Custody and Security minded.
3. Conscientious.
4. Consistent.
5. Objective.

Knowledges:
1. Thorough knowledge of Physical Plant.
2. Must know capabilities of his personnel.
3. Thorough knowledge of Dept & Inst Rules.

Skills:
1. Leadership ability.
2. Able to get along with people.
3. Ability to use his personnel in a manner to operate his shift in the most efficient manner.

Note: In case of insufficient space, complete any of above sections on reverse of this page.

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D. INDIVIDUAL POST DESCRIPTION

Facility Wood. Pub.Contrv Date 6-1[illegible]
Title of Positions Assigned to Post [illegible]
Post: No. [illegible] Designation [illegible]

Purpose of Post: (Over-all, summary narrative description.)
To assist Lt. in charge of 4-12 shift. To provide supervision of officers in various parts of the Institution during extensive night program.

Duties: (List in numerical order.)

3:50 P.M. Attend 4-12 P.M. line-up and see that all posts and assignments are covered. Distribute and explain any new orders and see that all personnel are in proper uniform and fit for duty.

4:10 P.M. Check to be sure all posts are covered and arrange program coverage for night program.

4:30 P.M. Remain in the dining room and kitchen during the supper hour, unless called to process drafts which frequently arrive at this time. At this time any new arrivals are closely checked for contraband, all personal property and papers checked and turned over to property clerk. Men are bathed, issued clean clothing and fed, housing assigned and questions answered.

6:15 P.M. Evening program is started. Gym, library, 4 rooms of class study and music, each consisting of two periods at which time students are changed. At 7:30 P.M. all Company Recs are opened and T.V., Ping Pong, Chess, Checkers and Card playing are available. School classes and Gym program are ended at 9:00 P.M. at which time all residents return to their housing units....and have a choice of the REC or remaining in their rooms for reading, writing or listening to private radio. RECS remain open until 11:00 P.M. when all men return to their rooms, are secured and counted.

During this period it is the Sergeant's duty to visit all units and ascertain all Officers are alert and properly supervising all under their control, investigate any disturbance and complaints, make sure all patrols are properly made, read and O.K. all reports intended for superiors.

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerical order under each heading as appropriate.)

Attitudes:
1. Positive attitude toward a rehabilitative program
2. Conscious of need for security and custody
3. Receptive to new ideas
4. Consistent
5. Objective

Knowledges:
1. Must know physical plant thoroughly.
2. Knowledge of goals of program and ability to implement them in his area of responsibility
3. Knowledge of institution and department rules and regulations

Skills:
1. Leadership ability
2. Able to get along with people
3. Ability to function calmly in emergency situations
4. Ability to utilize his personnel in a manner for more efficient accomplishment of department goals

Note: In case of insufficient space, complete any of above sections on reverse of this page.

D. INDIVIDUAL POST DESCRIPTION

Facility Woodbourne Rehabilitation Date 6/14/71
Title of Positions Assigned to Post [illegible]
Post: No. [illegible] Designation 3/11 Shift

Purpose of Post: (Over-all, summary narrative description.)
To assist Lieut. in supervising various activities of 67 officers and 650 residents on the 3/11 and 4/12 Shifts.

Duties: (List in numerical order.)

2:30 Check in Chart Office for any changes in 3/11 coverage. Check 4/12 folder for information pertaining to shift.

3:00 Hold line-up for 3/11. Assign Officers as directed, pass out information concerning shift or instructions.

3:15-3:40 Be available for various duties, coverage of post as necessary, process any late drafts. Inspect mess hall and kitchen for cleanliness and preparation of supper mess.

3:45 Report to line-up room and assist Lieut. with line-up.for 4/12 Shift.

4:10 Go to mess hall, make sure lines are set up for supper mess 4:20 PM

4:20 Have officer in Mess Hall Gas Tower and start chow.

4:20-5:40 Assist Lieut. with supervising supper mess.

5:40-6:20 Stay in Mess Hall, make sure counts OK and cleaning is going according to schedule.

6:20-9:30 Make rounds covering; gym, school, auditorium, blocks and dorms. About 7:15 make sure mess hall is clean before securing it. Depending on nights, Wednesday and Sunday, movies.

9:10-9:40 Be available to insure medication is dispensed properly.

9:50-10:40 Check for any fire or security hazzards with shop rounds officer. Write any reports and assist Lieut.

*

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerical order under each heading as appropriate.)

Attitudes:

1. Positive attitude regarding rehabilitation.
2. Conscious of need for security and custody.
3. Conscientious.
4. Objective
5. Consistent

Knowledges:

1. Thorough knowledge of physical plant.
2. Know capabilities of his personnel.
3. Department rules and regulations.

Skills:

1. Leadership.
2. Able to get along with people.
3. Ability to compile and maintain records.
4. Calm and resourceful in emergencies.

Note: In case of insufficient space, complete any of above sections on reverse of this page.

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5. IDENTIFICATION OF POST | Facility Youth Club Center | Date [illegible]
Title of Position Assigned to Post [illegible]
Post: No. [illegible] Designation [illegible]

Purpose of Post: (Over-all, summary narrative description.)
To provide custody and security in School and Barracks and allied areas. Supervise C.O.'s in the performance of these duties. Assist school personnel in locating residents and maintain order and an atmosphere conducive to education and rehabilitation.

Duties: (List in numerical order.)

A.M. cover in Mess Hall until clear or until 8 A.M.
1. Pick up call out sheets for school and shops at basement desk, if not already distributed.'
2. Check chart for coverage.
3. Check in school office for teacher and shop closing; have closings put on big and small basement blackboards.
4. Check to see if both gates are unlocked.
5. Cover in small basement, near West gate, until clear.
6. Check all locations for irregularities, conditions that need cleaning and coverage.
7. 11:10 A.M. Check all area of school to make sure all residents are out.
8. 11:20 A.M. Eat lunch and then cover in Mess Hall until clear.
9. 12:30 P.M. Follow A.M. procedure.
10. 3:00 P.M. Make sure WEst gate is locked.
11. 3:20 P.M. Check all areas for security, fire safety and make sure all residents have left area.

GENERAL RESPONSIBILITIES

Safety of residents and civilian personnel
Cleanliness of school (School Officer resp.)
Cleanliness of Shop (Shop Instructors resp.)
Security particularly in wood and auto shops

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerical order under each heading as appropriate.)

Attitudes:
1. Positive attitude toward the value of education in the rehabilitative process.
2. Conscious of need for security
3. Able to work compatibly and cooperate with school personnel
4. Receptive to new ideas
5. Consistent and objective

Knowledges:
1. Have knowledge of physical plant of Inst. and especially School and Shops
2. Knowledge of personnel and positions and the ability to make assignments for most efficient and secure coverage
3. Understanding of goals of the Dept. and how to implement them.

Skills:
1. Leadership ability
2. Tact
3. Adaptable and receptive to new ideas
4. Calmly able to handle emergency situations

Note: In case of insufficient space, complete any of above sections on reverse of this page.

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WEEK DAY SCHOOL SGT. DUTIES

Duties other than on outline sheet:

Writing safety, security, fire, resident behavior, officer evaluation, accident and other reports as directed.

Relieve or cover additionally all other Sgt. posts as directed.

Check weekly on physical security of all housing units including the hospital and initiate additions, deletions or corrections as needed.

Coordinate school programs with institutional security needs.

Supervise the work of officers in the school and other areas of the institution as assigned.

Supervise and control resident movement throughout the institution in general.

* "and any other related duties as assigned by a supervising officer." This outline of duties is not to be construed as complete or final, and changes, additions or deletions of various duties will be made as the need arises.

D. Additional Post Description

Facility: Woodbourne Rehab. Center
Title of Position: Corrections Officer
Post: No. _____ Designation: _____

Purpose of Post: (Over-all, summary narrative description.)
Supervision of correction officers of the Gym area on the 7 - 3 shift, responsible for custody and security during movies in auditorium. Coordinate Gym activities with Recreation Dept. Responsible for Security, order, cleanliness in three dormitorys and 200 residents

Duties: (List in numerical order.)

1. Check to see if there are any sick calls (Officers) for the 7-3 shift, make necessary adjustments. At 7:05 AM hold line-up.
2. Report to the Mess Hall, cover to end of meal (about 8:00 AM)
3. Cover the large basement while the population is moving. Supervise Officers assigned to the area to maintain smooth flow of resident traffic from housing areas to work areas. Assist the Basement Sgt. with any assignments that need attention.
4. At about 8:15AM, go to the Gym area and make a preliminary inspection of the Rec. room, Auditorium and showers.
5. Make a tour of the Dormitory areas to see that proper security is being maintained. Instruct and supervise the Officers of F-2(idle Co.) check E-1 & F-1 dormitory Officers for work reports and make an inspection for security, cleanliness and safety conditions.
6. Supervise gym area Officers in the recreation program.
7. See residents are taken to Hospital for medical treatment if needed.
8. In PM inspect E-1, F-1, F-2, chapel and gym areas and continue supervisory duties as in AM
9. On Saturday mornings supervise the Officers handling commissary for the residents.
10. Saturday PM supervise wight lifting room, dormitormies, dormitory recreation rooms where television, card playing and Ping Pong are going on.
11. Sunday PM supervise movies and small gym area as well as adjacent areas.

*

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerical order under each heading as appropriate.)

Attitudes:
1. Security and Custody concious
2. Positive attitude toward Rehabilition
3. Receptive to new ideas
4. Interest in Sports and Recreation actigities
5. Consistent - objective

Knowledges:
1. Knowledge of capabilities of Officers in his charge
2. " " pysical plant especially his area of responsibility
3. Knowledge of Department and Institution goals
4. " " rule and regulations of Institution and Department

Skills:
1. Leadership ability
2. Understanding of human nature
3. Calm in emergency situations
4. Tact and sincerity in dealing with people

Note: In case of insufficient space, complete any of above sections on reverse of this page.

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D. INDIVIDUAL POST DESCRIPTION

Facility [illegible] Date [illegible]
Title of Position [illegible] Assigned to Post [illegible]
Post: No. _____ Designation [illegible]

Purpose of Post: (Over-all, summary narrative description.)

To provide Security and Custody for residents working outside direct Supervision of C.O.'s on outside assignments. Coordinate work assignments with outside Maintenance Supervisor. Supervise activities in Visiting Room area. Responsible for Security in Administration Building.

Duties: (List in numerical order.)

1. Hold roll call for C.O.'s working the following areas: A/1; B/1; C/1; D/1; Hospital, Armoral, Correspondence, Rear Gate, Utility Squad, Mounted Patrol and Control Post.
2. Supervise security, custody and general well being of residents working in Administration Bldg., Visiting Room and Outside Gangs.
3. Assist and instruct Custodial employees in the discharge of their duties and be responsible for their supervision in the above areas.
4. As Fire Chief I am responsible for fire prevention, fighting and training.
5. Work closely with Maintenance Supervisor concerning custody and safety of men assigned to outside gangs.
6. Escort visitors (authorized) through Institution.
7. Supervise the processing of residents received from other Institutions.
9. Charge of and responsible for delivering employees pay checks.
10. Supervising other areas as needed and as directed by the Deputy Supt.

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerical order under each heading as appropriate.)

Attitudes:
1. Must be able to get along with people (Visitors).
2. Positive attitude regarding benefits of a Rehabilitative program.
3. Conscious of the need for Security and Custody.

Knowledges:
1. Must know the physical plant thoroughly including the outside plant.
2. Must know the skills and capabilities of his employees for best utilization of talents in doing job most efficiently.
3. Must have an understanding of the goals of the Inst Program and the policies of the dept. and the knowledge of how to implement them to the benefit of all.

Skills:
1. Leadership ability
2. Tact
3. Sincerity
4. Resourcefullness

Note: In case of insufficient space, complete any of above sections on reverse of this page.

D. INDIVIDUAL POST DESCRIPTION

Facility [illegible] Rehab. Center Date 6-14-71
Title of [illegible] assigned to Post [illegible]
Post: No. [illegible] Designation Block Security A

Purpose of Post: (Over-all, summary narrative description.) BLOCK SGT. - Supervises activities of C.O.'s in maintaining security; order and cleanliness in Housing Units; organizes C.O.'s in Group Counseling activities; orients new residents in Institution Rules and Regulations in Reception Company.

Duties: (List in numerical order.)

1. Mess Hall if working 7 - 3 shift (7 A.M.)
2. Post by I.D. during shop parade (8 A.M.)
3. Check C-1, C-2 and C-3
4. Make sure drafts are being processed
5. Pick up cigarettes for draft and leave slip for Mr. Prendergast accounting for amount taken
6. Check time cards of officer counselors for overtime worked
7. Make out overtime forms for counseling *
8. Check counseling schedule for next day
9. Mess Hall for noon meal
10. Post by I.D.
11. Check C-1, C-2 and C-3 companies
12. Check all blocks morning and afternoon
13. Orientation classes for new residents
14. Counseling for residents in C-1
15. Be available for Program Suspension Unit Court in C-1
16. Inspect residents' rooms and blocks
17. Be available to process drafts when received
18. Submit officer counseling schedule to Mr. Zimmerman each Tuesday for the following week
19. Make overtime summary at end of each pay period (* above)
20. If outside court is scheduled, make sure C-1 basement is ready
21. Make sure of coverage for Court (3 officers)
22. Pick up records for Court in Asst. Directors' Office
23. Take notes during Court and turn in to Asst. Directors' Office
24. Orientation for new employees as scheduled #

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerical order under each heading as appropriate.)

Attitudes:
1. Positive attitude toward rehabilitation
2. Conscious of needs for custody and security
3. Receptive to new ideas
4. Empathy for residents in his charge

Knowledges:
1. Knowledge of Institution procedures and physical plant
2. Knowledge of duties of positions under his supervision
3. Knowledge of capabilities and skills of employees in his area of responsibility

Skills:
1. Leadership ability
2. Tact and sincerity in dealing with people
3. Ability to compile and maintain records
4. Able to function calmly in emergency situations

Note: In case of insufficient space, complete any of above sections on reverse of this page.

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D. INDIVIDUAL POST DESCRIPTION

Facility Wood. Rehab. Center Date 6-14-71
Title of Positions Assigned to Post Sergeant
Post: No. ___ Designation Hospital Supervisor

Purpose of Post: (Over-all, summary narrative description.)
To control security and custody in Hospital area and to maintain good order and expedite the services of the Medical Department in treating residents. To maintain strict security over drugs and other medication at all times.

Duties: (List in numerical order.)

1. 8:00 A.M. check to see if blood list has been taken to hospital 1st floor
2. Supervise area around sick call desk while companies are running in the morning
3. Coordinate sick call, medication, C-block sick call, dentist, physicals, interviews, etc.
4. Make rounds of all three floors of hospital
5. During the above rounds, I talk to all residents assigned to and admitted to the Hospital as well as all of the Officers assigned to me. All problems, real or imagined, are aired and the process of solving them is started
6. Supervise mornign sick call
7. Assist doctors and nurses if needed
8. Brief Officers on special "details" to be accomplished that day
9. Follow up any unusual incidents pertaining to the residents that would involve the hospital. Including but not limited to written reports on such incidents
10. 11:00 A.M. Lunch
11. 11:20 A.M. Cover mess hall for noon meal
12. Supervise area around sick call desk while companies are running in the afternoon
13. Coordinate sick call, medication, interviews, physicals, etc.
14. Make rounds of all three floors of the hospital
15. Supervise afternoon sick call
16. Assist doctors and nurses if needed
17. Supervise over all operation of the hospital and sick call desk area

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerical order under each heading as appropriate.)

Attitudes:
1. Empathy for ill residents
2. Positive attitude regarding rehabilitation
3. Conscious of need for security
4. Able to work compatibly with medical personnel

Knowledges:
1. Thorough knowledge of hospital procedures
2. Understanding of human nature
3. Knowledge of capabilities and skills of employees
4. Some knowledge of medical procedures

Skills:
1. Leadership ability
2. Tact and sincerity in dealing with people
3. Ability to compile and maintain records
4. Able to handle emergencies calmly and with competence

Note: In case of insufficient space, complete any of above sections on reverse of this page.

D. INDIVIDUAL POST DESCRIPTION

Center
Facility Meadowbrook Rehabilitation Center Date 6/21/72
Title of Position Assigned to Post [illegible]
Post: No. 1 Designation [illegible]

Purpose of Post: (Over-all, summary narrative description.)
Supervision of Correction Officers and residents in Kitchen, Mess Hall and Officers Mess areas. Charge of this area from 7AM to 3PM each day.

Duties: (List in numerical order.)

1. Check breakfast and see that is is ready to serve.
2. See that the mess hall is set up for serving breakfast.
3. Start population in for breakfast when all is set up and gates are covered and gastower is manned.
4. Supervise Correction Officers and residents in the mess hall during breakfast and the noon meal.
5. Supervise Correction Officer in cleaning the kitchen and mess hall area and equipment in the kitchen.
6. Investigate all complaints, real or imaginary, in kitchen and shop areas, make reports when necessary.
7. Make certain that food is served in a proper manner according to menu.
8. Make certain all utensils are clean and sanitary.
9. Make certain all knives are kept locked when not in use and a record of who was issued any knives.
10. Start population for noon meal when food is ready and mess hall setup
11. Make rounds in Laundry, Storeroom, Sorting Room, Shoe Shop, State Shop, Tailor Shop and Music Room in morning and afternoon.
12. Supervise laundry parade on Saturday mornings.
13. Keep Correction Officers alert for waste and pilfering of food and other supplies and materials.

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerical order under each heading as appropriate.)

Attitudes:

1. Positive attitude toward Rehabilitation.
2. Security and Custody conscious.
3. Receptive to new ideas.
4. Able to work compatibly with Civilian kitchen personnel.
5. Conscious ofimportance of quality of meals as a morale factor.

Knowledges:

1. Thorough knowledge of Kitchen procedures.
2. Knowledge of capabilities and skills of persons under his supervisio
3. Understanding of goals of the department.

Skills:

1. Leadership
2. Tact and sincerity in dealing with people.
3. Calm in emergencies
4. Ability to make assignments for most efficient operation of kitchen and mess hall.

Note: In case of insufficient space, complete any of above sections on reverse of this page.

* "and any other related duties as assigned by a supervising officer." This outline of duties is not to be construed as complete or final, and changes, additions or deletions of various duties will be made as the need arises.

D. INDIVIDUAL POST DESCRIPTION

Facility Wood. Rehab. Center Date C-14-7

Title of Position Assigned to Post

Post: No. Designation

Purpose Of Post: (Over-all summary narrative description.)

To provide supervision in Basement and Yard areas. Basement is main avenue for residents passing to various parts of institution. 90% of residents pass through and are assembled in this area several times per day.

Duties: (List in numerical order.)

1. To provide secure control over scheduled movement of residents from work location to school, work, gym, sick call and all interviews.
2. To keep current files indicating housing, work, school, gym and idle for all residents.
3. To make all housing location changes and to provide necessary escort.
4. To provide officer escort for all contract workers, for occasional workers (telephone men, etc.) and for female employees.
5. To provide coverage for fire drills.
6. To provide necessary relief for CO. Offices, starting at 10:30 a.m. daily so that normal officer coverage may be maintained at all times.
7. To keep records regarding release to A.C., Court Discharge and Appearances, Hospital visits and to see that all men are scheduled for processing and are properly dressed for release.
8. To supervise large assembly areas and to provide proper coverage daily.
9. To schedule yard, gym and rec programs for week-ends and holidays and to see that proper coverage is provided in each area.
10. To keep continuous daily record of resident's movement so that any resident may be located immediately for visits, lawyer visits, counseling and other interviews.
11. To see that large and small basement and yard plus facilities are properly cleaned and in good secure repair.
12. To make a daily fire inspection and turn in report.
13. To accompany Officers to C-1 Co with all disciplinary cases from the areas.

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerical order under each heading as appropriate.)

Attitudes:

1. Positive attitude toward rehabilitation
2. Conscious of need for custody and security
3. Conscientious
4. Consistent
5. Objective
6. Receptive to new ideas

Knowledges:

1. Thorough knowledge of physical plant
2. Knowledge of capabilities of people working for him in order to make assignments for more efficient coverage
3. Understanding of human behavior

Skills:

1. Calm and efficient during emergency situations
2. Leadership ability
3. Ability to compile and maintain records
4. Must be adaptable and resourceful

Note: In case of insufficient space, complete any of above sections on reverse of this page.

* "and any other related duties as assigned by a supervising officer." This outline of duties is not to be construed as complete or final, and changes, additions or deletions of various duties will be made as the need arises.

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A. CUSTODIAL POST CHART

Facility Woodbourne Rehab. Center Date 6/14/72 Page 3

Title(s) of Positions Assigned to Posts on this Page
Correction Sergeants

POSTS			Days Per Week	Shift Hours and Number of Men Each Shift								Total Men Per Day	Total Position with Relief
No.	Designation	Class		12-8	7-3	8-4	9-5	3-11	4-12				
1	Basement-Yard	A	7			1						1	1.235
2	Kitchen-Mess Hall	A	7		1							1	1.765
3	Hospital	A	6			1						1	1.412
4	Housing Units	A	7			1						1	1.765
5	Outside & Visiting Room	B	7			1						1	1.765
6	Gym-Rec. Dorms	A	7		1							1	1.765
7	School	A	5			1						1	1.168
8	3-11 Shift	A	5					1				1	1.168
9	4-12 Shift	A	5						1			1	1.168
10	12-8 Shift	B	7	1								1	1.765

DXR A-1904

Facility Date

Post: No. Designation Yard and Rec. Sgt.

Purpose of Post: (Over-all, summary narrative description.)

Supervise all recreational areas (ball park, field house, gym, yard, recreation rooms) and C.[illegible]'s assigned to cover recreation schedules.

Duties: (List in numerical order.)

1. Security and liason with physical education personnel to maintain a smooth running recreation program.
2. Supervise preparation of all recreation schedules with Physical Education personnel.
3. Design security for new or varied recreation programs as directed by the Superintendent.
4. See that proper recreational equipment is provided and maintained. Follow up on work orders prepared by Physical Education staff for equipment needed to maintain program.
5. Help supervise organization of special events programs for holidays.
6. Assist in scheduling TV and radio programs. [redacted].
7. Any other related duties as assigned by a Supervising Officer.

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerical order under each heading as appropriate.)

Attitudes: Cooperative
Interested in sports

Knowledges: Rules of department and facility
Security and safety.

Skills: Tactful and diplomatic.
Understanding of human relations.

Note: In case of insufficient space, complete any of above sections on reverse of this page.

INDIVIDUAL POST DESCRIPTION

Facility _____ Date _____

Title of Position Assigned to Post Correction Officer

Post: No. _____ Designation Cell Block Supervisor

Purpose Of Post: (Over-all, summary narrative description.)

General supervision of cell blocks and administration building under direction of Lieutenant (Watch Commander).

Duties: (List in numerical order.)

1. Check for cleanliness and good order in cell blocks.
2. See that safety, security and fire regulations are followed.
3. See that all blocks follow the same procedures and rules in regard to cell care, cell furniture and general upkeep.
4. See that all blocks allow the same cell privileges in regard to decorations, pictures, rugs, lighting and any other optional equipment.
5. Supervise and instruct officers assigned to blocks.
6. Work with maintenance department in making all necessary repairs without delay.
7. Inspect all areas of administration building at irregular intervals.
8. Check security closely in areas where civilians (women) are employed such as parole and guidance departments, business office, record office.
9. See that officers are on their assigned posts when inmates return to blocks after meals.

And any other related duties as assigned by a supervising officer.

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerical order under each heading as appropriate.)

Attitudes:
Cooperative, able to get along
Sincere interest in efforts of subordinates

Knowledges:
Security
Fire & Safety regulations
Rules and regulations for employees, inmates and facility
How to look for and make improvements

Skills:
Leadership
Carries out mandates and directions of superiors

Note: In case of insufficient space to complete any of above sections on reverse of this page.

INDIVIDUAL POST DESCRIPTION

Facility [illegible]r. Facility Date
Title of Post: Assigned to Post Corr. Sergeant
Post: No. 4 Designation Outside Sergeant

Purpose of Post: (Over-all, summary narrative description.)
Supervision and Security of all gangs and Facilities outside of Institution including Wall Posts.

Duties: (List in numerical order.)

1. Supervise and instruct Officers in charge of outside gangs and on Wall Posts. (10 Gangs and 8 Security Posts.)
2. Check all outside areas and Wall Posts to insure proper security is maintained.
3. Check all areas for safety and fire hazards.
4. Co-ordinate repair and maintenance of farm and utility vehicles to insure proper service.
5. Assist in coverage of Mess Hall at breakfast and Noon meals.
6. Supervise snow removal and road repairs in cooperation with the farm manager.
7. See that Wall Post equipment is properly maintained and work with Maintenance Supervisor in keeping Wall Posts in good repair and [illegible] properly.
and # 4 Post
8. Check Farms in Big Flats and Horseheads area when inmates work there and see that periodic checks are made in winter months when farms are shut down.
9. Any other related duties as assigned by a Supervising Officer.

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerical order under each heading as appropriate.)

Attitudes: Desire to cooperate with Department Heads and Institutional personnel.

Knowledges: Security, Safety Regulations, Departmental Rules and Regulations.

Skills: General maintenance. Tact and diplomacy and leadership ability.

Note: In case of insufficient [illegible] any of above sections on reverse of this page.

A-1907

7

INDIVIDUAL POST DESCRIPTION

Facility I Date
Title of Post: Assigned to Post Correction Sgt.
Post: No. 5 Designation Kitchen & Mess Halls

Purpose of Post: (Over-all, summary narrative description.)

Supervise security and cleanliness of kitchen, mess hall, Store A and auditorium areas.

Duties: (List in numerical order.)

1. Supervise civilian officers and inmates assigned to kitchen, mess hall, store A and auditorium areas.
2. See that all security, safety and fire regulations are enforced.
3. Cooperate with Food Service Manager in seeing that kitchen and mess halls and all equipment are kept in sanitary condition.
4. At meal time - supervise serving counters and see that all food is properly served.
5. Double check all areas of food preparation to see that inmates are not able to sabotage food.
6. Keep close check on Store A storage areas to prevent supplies being taken, or damaged thru improper storage.
7. Keep auditorium clean and see that movie projectors are properly maintained. Assist in preparation of auditorium for showing of inmate talent or music shows as well as outside performers appearances.
8. See that kitchen and mess hall are s are checked and that all equipment and dishes are cleaned and stored after the evening meal.
9. See that all knives used in butcher shop and kitchen are properly s cured each day.

And any other related duties as assigned by a supervising officer.

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerical order under each heading as appropriate.)

Attitudes: Cooperative - able to coordinate work among different groups.

Knowledges: How to look for and make improvements.
Scheduling and making assignments.

Skills: Developing teamwork.

Note: In case of insufficient space to complete any of above sections on reverse of this page.

INDIVIDUAL POST DESCRIPTION

Facility [illegible] Facility Date _____
Title of Post: [illegible] Assigned to Post Corr. Sergeant
Post: No. _____ Designation Vocational & Maintenance

Purpose of Post: (Over-all, summary narrative description.)
Supervision and security of Vocational and Maintenance Shops and Center Gate in West Yard.

Duties: (List in numerical order.)

1. Supervise shop buildings #1 thru # 6 and Center Gate area.
2. Insure that safety, security and fire regulations are followed in all shop buildings.
3. Supervise and instruct Officers assigned to West Yard lines, posts, Shops, Shop Patrols, Maintenance area, Utility Gangs, School and Shop overflow rooms, School Class rooms in Shop # 6, Center Gate and Yard Patrol.
4. Cooperate with Director of Education, Vocational Supervisor and Industrial Superintendent in maintaining jobs and programs for inmates working in the area.
5. Work with Maintenance Supervisor in upkeep of buildings and grounds.
6. See that orderly flow of inmates is maintained when passing out thru Center Gate to shops, Schools, Hospital, Fieldhouse and Ball Park.
7. Cooperate with Sergeant assigned to School and Hospital area in carrying out all programs.
8. Supervise vehicular traffic thru West Yard to and from the #2 Post entrance to the Facility.
9. Assist in Mess Halls when West Yard area in clear.
10. Any other related duties as assigned by Supervising Officer.

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerical order under each heading as appropriate.)

Attitudes:
Cooperative
Able to maintain wholesome human relations and stimulate cooperative effort

Knowledges:
Security, Safety and Fire Regulations
Program schedule
How to look for and make improvements

Skills:
Leadership, Tactful
Uses sound judgement

Note: In case of [illegible] complete any of above sections on reverse of this page

INDIVIDUAL POST DESCRIPTION

Facility [illegible]rrectional Date _____
Title of Po[illegible] Assigned to Post Correction Sgt.
Post: No. _____ Designation Tour #2 3 [illegible]

Purpose of Post: (Over-all, summary narrative description.)

Assist Watch Commander during Tour #2.

Duties: (List in numerical order.)

1. Assist in all areas of supervision to help the Watch Commander.
2. Assist the Watch Commander in implementing new programs as directed by the Superintendent.
3. Supervise existing night programs as directed by Watch Commander.
4. Learn and understand all duties, responsibilities and legal details of Tour #2.
5. Be aware of all inmate movement for evening programs and help design secure traffic patterns.
6. Study all evening programs with an objective view, to maintain health, security and safety.

And any other related duties as assigned by a supervising officer.

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerical order under each heading as appropriate.)

Attitudes: Willing to learn, alert.

Knowledges: Rules of department and facility
Human relations

Skills: Diplomatic

Note: In case of insufficient [illegible] complete any of above sections on reverse of this page.

A-1910

10

INDIVIDUAL POST DESCRIPTION

Facility Elmira Corr. Facility Date _____
Title of Positions Assigned to Post Correction [illegible]
Post: No. 7 Designation Tour #3 [illegible]

Purpose of Post: (Over-all, summary narrative description.)

Assist Watch Commander on Tour #3 and supervise early kitchen and barn gangs.

Duties: (List in numerical order.)

1. Assist Watch Commander in all areas of supervision and handling any emergencies that arise during the night.
2. Make tours of Facility at irregular intervals to check security especially in Hospital area in the West Yard.
3. Check roll call for civilian cooks and officers assigned to early kitchen and barn gangs.
4. See that inmate workers go to kitchen to prepare breakfast for population.
5. See that inmates scheduled for early release are fed breakfast, dressed in civilian clothes and issued their money, bus tickets and personal property and taken to bus depot.
6. Check security in barn area when inmate workers go out at 5:30 A.M.
7. Supervise kitchen and bake shop area till Food Service Manager takes over, [redacted]
8. Any Other related duties as assigned by a Supervising Officer.

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerical order under each heading as appropriate.)

Attitudes: Cooperative
Carry out mandates and directives of supervisors.

Knowledges: Departmental and Facility rules.
Kitchen and Barn routines.

Skills: Able to handle emergencies.

Note: In case of insufficient space, [illegible] any of above sections on re[illegible] of this page.

D. INDIVIDUAL POST DESCRIPTION

Facility Elmira Correctional FAcility Date

Title of Positions Assigned to Post Correction Sergeant

Post: No. 38 Designation Hospital & School

Purpose of Post: (Over-all, summary narrative description.)

Supervision & Security of the Hospital, School, and Agriculture Class areas.

Duties: (List in numerical order.)

1. In charge of security and Correction Officers in these areas.
2. Enforce Fire & Safety regulations.
3. Supervision & instruction.
4. Escort Doctors & Nurses during daily sick call in the Hospital and Housing Units on weekends.
5. Cooperate with Director of Education to maintain a smooth running school program.
6. Regular inspections for cleanliness, security, safety and order.
7. Supervise inmate movement.
8. Coordinate maintainance of area.
9. Provide supervision in Mess Halls.
10. Assist and cooperate with all Departments.
11. Enforce all rules & regulations and report violations.

Requirements: The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerical order under each heading as appropriate.)

Attitudes:
Firm & fair
Factual & objective
Consistent & conscientious
Responsible & alert
Cooperative & courteous
Judgment & poise

Knowledges:
Entire physical plant
Employee rules & regulations
Department rules & regulations
Inmate rules & regulations
All special orders
Fundamentals of Supervision
Program & Goals of the Department
Emergency procedures

Skills:
Counseling & guidance
Ability to handle unusual situations
Ability to relate positively with others
Supervision & leadership

INDIVIDUAL POST DESCRIPTION

Facility: Facility Reception Center at Guiradate
Title of Post: Title of Positions Assigned to Post Correction Sergeant
Post No.: Assignment Transportation Sergeant

Purpose of Post: (Over-all, summary narrative description.)

To supervise and be responsible for the security, custody, and general well-being of inmates transferred from this facility by bus or other vehicle.

Duties: (List in numerical order.)

1. Supervise frisking and shackling of inmates on draft.
2. Complete search sheets and check for special instructions.
3. Check Rolodex cards at A block Control and note escape risks, emotionally unstable, etc.
4. Check that food is sufficient.
5. Deliver draft to receiving institution per their established Procedure.
6. Check that inmates are properly clothed, have personal property bags, etc.
7. Check that personal records packages are loaded on bus.
8. Supervise security of bus and draft.
9. And any other related duties as assigned by a superior officer.

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerical order under each heading as appropriate.)

Attitudes:
Fair
Firm
Objective
Tactful

Knowledges:
Employees Rule Book
Inmate Rule Book
Inmate Rules & Regulations - Chap. V & VI
All post locations and duties
Union contracts
Civil Service Law
Facility Disturbance Plans

Skills:
Supervision techniques
Weapons and gas qualification
Interview techniques
Counseling techniques

Note: In case of insufficient space, complete any of above sections on reverse of this page.

Serve as Watch Commander for tour 1 2 and 3 when assigned Watch Commander is on RDO, also relief factor for Captain when he is on RDO. RDO Relief for 3 Relief Lts and 1 Relief Sgt.

Duties:

Same as Watch Commander whom he is relieving. (see job spec for tour commanding 1 2 and 3.

Fair
Firm
Objective
Tactful

Post and Duties of Custodial Employees
Employees Rule Book
Inmate Rule Book
Inmate Rule and Regulations - Chap V & VI
Union Contracts
Civil Service Law
Facility Disturbance Plan

Supervision techniques
Weapons and Gas qualifications
Interview techniques
Counseling techniques

A. PERIODIAL POST CHART

Facility [illegible] Date 10/2/42 Page 2

Title(s) of Positions Assigned to Posts on this Page

Correction Pursuant

POSTS No.	Designation	Class	Days Per Week	Shift Hours and Number of Men Each Shift: 11:30 PM - 7:30 AM	7:30 AM - 3:30 PM	3:30 PM - 11:30 PM						Net Men Per Day	Total Positions With Relief
1	Lieutenant Relief	C	2		1							1	.5
2	Transportation Sergeant	B	5		1							1	1.2
											GRAND TOTAL:		1.7
													Recommend 2

DXR A-1915

15

Coxsackie Correctional

Correction Sergeant
Shops and School Area

Supervision of vocational shops and academic school area for cleanliness, safety, security and good order.

1. Report to assembly for shop parade and supervise control.
2. Make irregular periodic inspections of school and shop area, visiting classrooms and shops. Check for cleanliness and the observance of safety rules.
3. Supervise marching of inmates at morning recall and observe frisking of shop inmates.
4. Aid in supervising noon feeding and recreation period.
5. Hold interviews with inmates in shop and school areas and discuss any problems with staff.
6. Same procedure as a.m.
7. And any other related duties as assigned by a supervising officer.

Have a sincere, mature attitude toward employees and inmates and ability to maintain good rapport with both.

Knowledge of functions of each area and problems to be encountered and solved.

To be able to adjust to emergency situations readily and make sound decisions when necessary.

DXR A-1916

16

Coxsackie Correctional

Correction Sergeant
Mess Hall Area 10-6

Work in conjunction with the Food Service Manager in supervising the kitchen and mess hall area in preparation and serving of meals.

1. Report for duty at 10 a.m.
2. Inspect bakery, kitchen and mess hall areas for cleanliness, etc.
3. Supervise early dinner feeding and clean up.
4. Supervise dinner feeding and clean up. Inspect all areas.
5. Consult with Food Service Manager about supper meal.
6. Supervise preparation of supper meal and setting up of mess halls.
7. Supervise early supper meal and clean up.
8. Supervise serving of regular supper meal and clean up.
9. Arrange for feeding of night farmers.
10. And any other related duties as assigned by a supervising officer.

Ability to control and supervise inmates and officers in an orderly manner.

Knowledge of food preparation and proper serving of same. Knowledge of methods of maintaining cleanliness in a food service area.

Ability to get along with both employees and inmates and adjust to any situation.

A-1917

Commercial Correctional

Correction Sergeant
In Charge of Outside
Squads

Supervision of all outside work squads and safety and security inspection of all farm buildings and facility residences.

1. Reports to assembly area and supervises line up of outside workers.
2. Checks squads out rear gate.
3. Makes an irregular periodic inspection of areas where outside squads are working in the a.m.
4. Checks all buildings for safety and security regulations.
5. When outside workers turn in at noon recall, he checks to see that all squads are frisked properly.
6. Same procedure as a.m.
7. Interview civilians and officers in charge of squads about any problems they encounter.
8. And any other related duties as assigned by a supervising officer.

Ability to solve problems that arise that must be handled promptly. Ability to control personnel and inmates with good supervision.

Knowledge of duties of outside squads and safety and security regulations.

Ability to use effective supervision to get good results out of the work force.

DXR A-1918

17

Coxsackie Correctional

Correction Sergeant
Sergeant in Charge of
Housing Units Noon-8

1. Insure proper performance of duties by correction officers and provide on the job training and counseling for officers.
2. Supervise and counsel inmates.
3. Supervise all housing units.

1. Supervise dining room, kitchen and bake shop area during the noon meal.
2. Supervise shop parade at 12:45 p.m., then inspect package room, visiting room, desk, front gate, key room, reception and officers' quarters post.
3. Inspect all housing areas for cleanliness and violation of security rules. Inspect shops and school.
4. Check all division frisks and responsible to have school and shop areas frisked at least once each month.
5. Inspect special housing units A-3, B-3, Reception.
6. Check all division progress reports monthly.
7. Lunch from 3 to 3:20 p.m.
8. 3:25 p.m. supervise the yard area and check squad frisks.
9. 4:00 p.m. supervise recreation in all yards or indoor recreation room areas.
10. Supervise yard recreation after supper. Investigate all infraction reports and make reports on any situation occurring.
11. Supervise the feeding of the supper meal in the assembly area.
12. Supervise all actions in yard, gym, auditorium, corridors, school and shop areas, outside areas, etc.
13. And any other related duties as assigned by a supervising officer.

Ability to control and supervise inmates and correction officers in an orderly manner.

Knowledge of correction law, department and institutional rules. Know problems and traits of officers and inmates. Employee labor relations - first line supervisor functions in all matters. Counseling techniques.

To be able to solve any problems on his level and refer others to proper authority. Requires a lot of patience and understanding to be fair and firm with all concerned.

Coxsackie Correctional

Correction Sergeant
Duty Sergeant

To supervise officers on the 8-4 shift in duties pertinent to the operation of the institution.

1. Hold 7:50 a.m. roll call.
2. Supervise dispensary call, medications, farmers and early work squads.
3. Hold shop parade, make call-outs and assign officer to groups called out - dentist, service unit, etc.
4. Assign miscellaneous officers to various assignments.
5. Make rounds inside facility visiting special housing units, hospital and other areas, checking on assigned officers.
6. Supervise recall and line up divisions for mess.
7. Hold p.m. shop parade and make necessary assignments.
8. List daily assignments for chart sergeant.
9. Make rounds of facility.
10. And any other related duties as assigned by a supervising officer.

Ability to control and supervise inmates and correction officers in an orderly manner.

Knowledge of correction law, department and institutional rules. Know problems and traits of inmates and officers.

Ability to get along with employees and inmates and adjust to any situation.

20

Connecticut Correctional

Correction Sergeant

Sergeant Mid. - 8 a.m.

To assist Mid. - 8 a.m. watch commander in supervision of the shift from Mid. to 8 a.m.

1. Receives any pertinent information about shift from watch commander.
2. Makes several irregular periodic rounds of facility during the night, visiting all areas.
3. Aid watch commander in taking counts.
4. Checks sick calls and aids in taking inmates to the dispensary.
5. Supervises call of early kitchen workers and preparation and serving of breakfast meal.
6. Supervises yard or recreation rooms until relieved.
7. Complete log and reports on any incidents during tour of duty.
8. And any other related duties as assigned by a supervising officer.

Have a sincere, mature attitude toward personnel and inmates.

Have a complete knowledge of the physical plant, procedures and capabilities of the officers assigned to the shift. Knowledge of the rules and regulations of the Department and the facility.

Ability to get along with employees and inmates and to adjust to any situation.

✓

F. ASSIGNMENT POST CHART

Facility [illegible] Date 10/1/52

Fill (s) of Position Assigned to Posts on this Page _____

Shift

Posts			Days Per Week	Shift Hours and Number of Men Each Shift								Men Per Day	Total Positions With Relief
No.	Designation	Class											
1	~~2nd & 3rd shift~~		7									2	3.4
2	Mess Hall		7									1	1.7
3	School & Shops		5									1	1.2
4	Housing		7									1	1.7
5	Outside		7									1	1.7
													9.7
												Recommend	10

DXR A-1922

82

D. INDIVIDUAL POST DESCRIPTION

Facility BRIDGEWATER HILLS Date 5/12/72
Title of Positions Assigned to Post Correction Sergeant
Post: No. 1 Designation Administration Building

Purpose of Post: (Over-all, summary narrative description.)

Responsible for Officers assigned to Administration Building. Takes care of incoming calls. Tours area. Overseeing activities in Administration Building.

Duties: (List in numerical order.)

1. Inspection and Assignment of officers in area.
2. Receives incoming calls (sick calls, etc.)
3. Tour areas of building to see that necessary work is being completed.
4. Arrange for escorts.
5. Oversees visiting room & package room activities.
6. Overseeing proper conduct of inmates in Administration Building.

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerical order under each heading as appropriate.)

Attitudes: Pleasant, able to meet public.

Knowledges: Departmental philosophy, rules, regulations, and procedures. Know area and necessary work to be accomplished.

Skills: Ability to establish satisfactory relationship with employees, visitors and inmates. Able to handle difficult situations.

Note: In case of insufficient space, complete any of above sections on reverse of this page.

DXR A-1923

D. INDIVIDUAL POST DESCRIPTION

Facility BEDFORD HILLS Date

Title of Positions Assigned to Post Correction Sergeant

Post: No. 2 Designation Housing Units - Bldgs. 112 and 113

Purpose of Post: (Over-all, summary narrative description.)

Responsible for officers assigned in Housing Units. Tours areas, makes necessary arrangements for escorting, checks recreation activities. Assists with meal supervision in cafeteria.

Duties: (List in numerical order.)

1. Inspection & assignment of correction officers.
2. Tour areas.
3. Arrange escorts.
4. Tour recreation activities.
5. Meal supervision in inmate cafeteria.
6. Handle certain inmate problems.

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerical order under each heading as appropriate.)

Attitudes: Pleasant - firm but fair.

Knowledges: Departmental philosophy, rules, regulations and procedures. Over-all knowledge of duties of post. Ability to handle difficult situations.

Skills: Ability to act as a "buffer". To be able to resolve problems at own level and refer upward when necessary. Ability to write factual reports. To be alert and observant for the unexpected.

Note: In case of insufficient space, complete any of above sections on reverse of this page.

(SEE OTHER SIDE) A-1924

1. With the increase in Population and special inmate problems, it is necessary to have at 10:30 P.M.-6:30 A.M. Sergeant assigned.

2. If the scheduled Lieutenant calls in sick, or becomes ill while on duty, this would leave the shift without supervisory coverage. (If the Post for the 10:30 P.M. to 6:30 A.M. Sergeant would not be allowed)

3. Security Unit Contract (Sec.25) calls for no shift change without 48 hr. advanced notice. Departmental policy also specifies that at least a Grade 19 or Correction Lt. be in charge of the Institution on the 4-12 and the 12-8 shifts.

D. INDIVIDUAL POST DESCRIPTION

Facility BEDFORD HILLS Date

Title of Positions Assigned to Post Correction Sergeant

Post: No. 3 Designation Housing Unit-Bldg. 114

Purpose of Post: (Over-all, summary narrative description.)

Supervise Officers assigned to Building 114 on 2:30 P.M. - 10:30 P.M. shift. Inspect and assign officers. Help supervise evening meal and recreational activities.

** See Reverse Side

Duties: (List in numerical order.)

1. Inspection & assignment of officers in Bldg.114
2. Tour areas.
3. Arrange necessary escorts.
4. Supervise recreational activities.
5. Help supervise evening meal in cafeteria.
6. Available to help with Inmate problems.

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerical order under each heading as appropriate.)

Attitudes: Pleasant - firm but fair.

Knowledges: Departmental philosophy, rules, regulations and procedures. Over-all knowledge of duties of post. Ability to handle difficult situations.

Skills: Ability to act as a "buffer". To be able to resolve problems at own level and refer upward when necessary. Ability to write factual reports. To be alert and observant for the unexpected.

Note: In case of insufficient space, complete any of above sections on reverse of this page.

** Purpose of Post...cont'd.

Because of the addition of the Albion Population, the increased commitments now received due to the closing of the Albion Facility, along with many adjustment problems, it will be necessary to have additional supervisory personnel on the evening shift.

- - - - - - - - - - - - -

We would like a Sergeant in Building 114. We feel that the younger girls in 114 should be physically separated from the older women in buildings 112 & 113.

Due to the construction of the new cafeteria, it is not possible, at this time, to gain entrance to building 114 by way of connecting corridor.

D. INDIVIDUAL POST DESCRIPTION

Facility BEDFORD HILLS Date

Title of Positions Assigned to Post Correction Sergeant

Post: No. 4 Designation Hospital, School and Gym

Purpose of Post: (Over-all, summary narrative description.)

The overall supervision of the Hospital Building. Inspects and supervises Correction Officers assigned to the building. This building includes all special housing units (Sick Wing, Quarantine, Segregation Unit, Nursery, Special Diets, Geriatrics and inmates having adjustment problems.)

Duties: (List in numerical order.)

1. Inspection and assignment of Correction Officers.
2. Tour area.
3. Arrange necessary escorts.
4. Handle certain inmate problems.

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerical order under each heading as appropriate.)

Attitudes: Pleasant - firm but fair.

Knowledges: Departmental philosophy, rules, regulations and procedures. Over-all knowledge of duties of post. Ability to handle difficult situations.

Skills: Ability to act as a "buffer". To be able to resolve problems at own level and refer upward when necessary. Ability to write factual reports. To be alert and observant for the unexpected. Able to deal effectively with inmates having personality and adjustment problems.

Note: In case of insufficient space, complete any of above sections on reverse of this page.

D. INDIVIDUAL POST DESCRIPTION

Facility BEDFORD HILLS Date

Title of Positions Assigned to Post Correction Officer

Post: No. 5 Designation Outside Sgt. for Industry, Laundry and Storehouse

Purpose of Post: (Over-all, summary narrative description.)

Patrol fence area, laundry, storehouse, school and outside recreation.

Duties: (List in numerical order.)

1. Tour laundry, storehouse and school.
2. Help supervise outside recreation.
3. Provide flexibility in covering supervisory (Sgt.) assignments generally.

Requirements: (The qualifications required to perform satisfactorily the duties of this post as described above, listed in numerical order under each heading as appropriate.)

Attitudes: Pleasant - firm but fair.

Knowledges: Departmental philosophy, rules, regulations and procedures. Over-all knowledge of duties of post. Ability to handle difficult situations.

Skills: Ability to act as a "buffer". To be able to resolve problems at own level and refer upward when necessary. Ability to write factual reports. To be alert and observant for the unexpected.

Note: In case of insufficient space, complete any of above sections on reverse of this page.

A. CUSTODIAL POST CHART

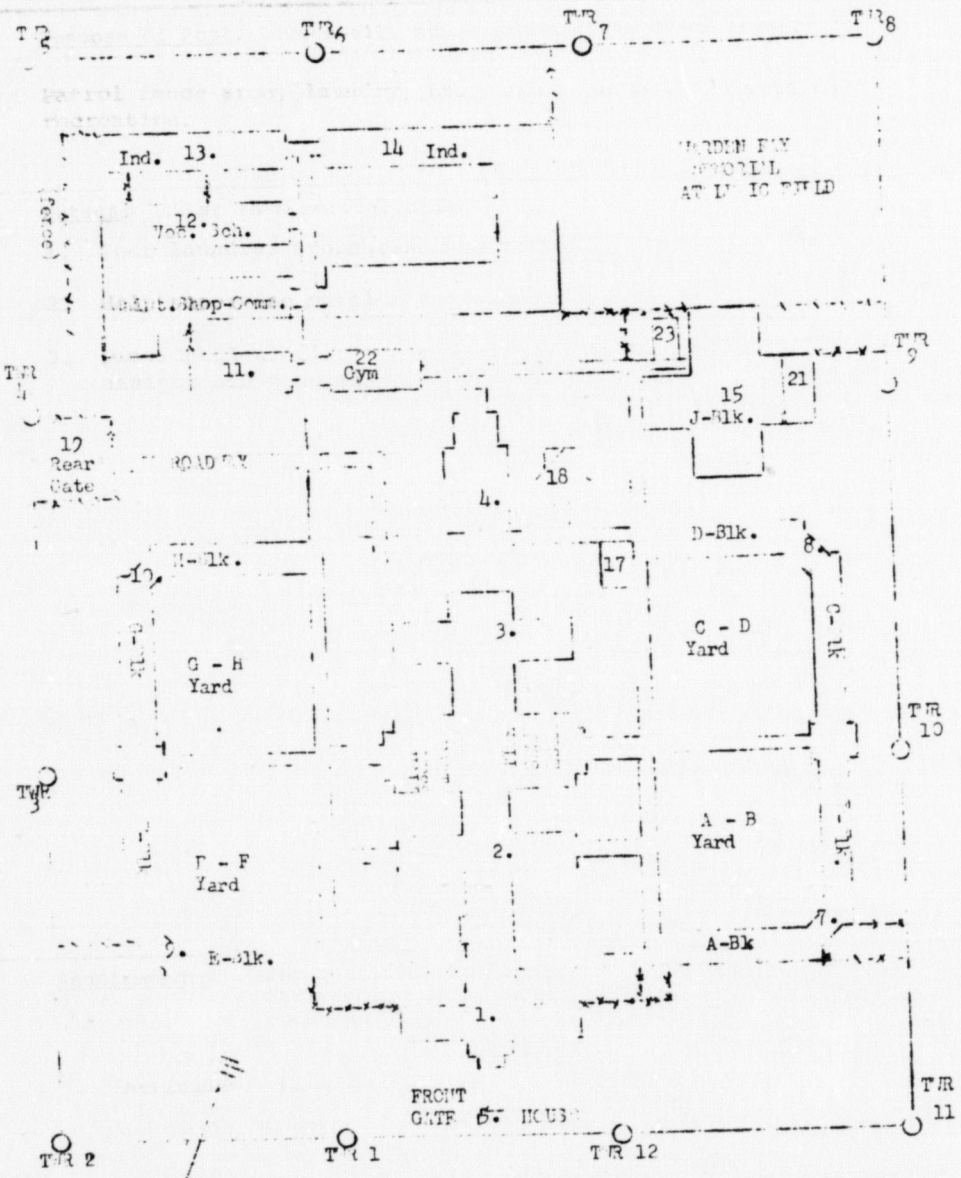
Facility Bedford Hills (Female) Date 4/17/72 Page 3

Title(s) of Positions Assigned to Posts on this Page Correction Sergeant

POSTS			Days Per Week	Shift Hours and Number of Men Each Shift								Total Men Per Day	Total Positions With Relief
No.	Designation	Class		7:30a 2:30p		8 a 4:0		10:0 4:0	2:3 10:3		10:3 7:30		
1	Admin., Bldg. & Prop Gate	B	7			1						1	1.7
2	Housing Units 112 & 113	A	7	1					1		1	3	5.1
3	Hospital, School & Gym	A	7			1						1	1.7
4	Outside Sgt.for Industry, Laundry & Storehouse	B	7					1				1	1.7
										GRAND	TOTAL		10.2
											CALL		10

30

Defendants' Exhibit T–Diagram of Greenhaven Correctional Facility and Supervisors' Assignments July 15, 1973–July 28, 1973



Bldgs.

1. Adm. Bldg., Inmate Visiting Rm. Supt., Dep.Supt., Clk. Offices Adm. Controls, Court Room, I.D.Rm. Pkg. Rm., Waiting Rm
#2. Hospital, Seg
#3. Kitchen, Bast. West , Bakery Storehouse
Auditorium
#5. Front Gate
#6. Prison Wall with 12 Turs.
#7. A & B Blk.
#8. C & D Blk.
#9. E & F Blk.
#10 G & H Blk.
#11. Laundry & Bathouse

Bldgs.

#12. 1st Floor - Commissary, Plumbing and Electric Shop, Voc. School, School
2nd Floor - South 40, Mosque, State & Tailor Shops
#13. Ind. Shipping, Brush Shop
#14. 1st Floor - Ind. Admin., Storage 14-1 G, 14-1 H, 14-1 B
2nd Floor - 14-2K, 14-2 G, 14-2 F
#15 - J-Block
#17 - Prot. Chapel
#18 - Cath. Chapel
#19 - Rear Gate
#21 - J-Blk. School, Work Release, Law Library
#22 - Gymnasium
#23 - Correspondence

1931

Agenda

1 Murphy

2 Stuck

3 Mitchell

4 Salmon

5 Spalding

6 Holmes

7 Cunningham

8 Rolen 27

9 Brennan

10 Dillon 27

11 Hinch

12 Britt 27

13 Brown 27

14 Orton 27

15 Riley 27

DXT

[illegible]
[illegible]
July 15, 1973 to July [illegible], 1973, Incl.

	SQUADS	
Dorm Maids L.H.,L,F,G,K Blocks & Yards All Day. Laundress, Barber Shop, Laundry Issue, Library till 10PM, Corpsmen at Sick Call, Dental Detachment, F & K Blocks till 3:10 P.M., Drill Squad on Fay Field, Commissary, 12 & 13A Bldgs till 10PM.	1	Rykun
Kitchen, Drughouse, Kitchen Yards and Supervision Duty, Day till 10PM.	2	Brooks
L & D Blocks Breakfast, A Block All Day, Cover all Drafts In or Out of Institution, Post Corridor from Adm. to B & C Corr, A Block till 3:10 PM, Outside Visiting Duty, Visiting, Noon, Adm Bldg on Weekends and Holidays till 10AM, Check COs for Quarters	3	Rios
Work Mate L.H. L Block, Protestant and Catholic Chapel till 10AM. Auditorium, J Block, The Library, J School, Correspondence, J Yards, Fay Field, All Shows on Holidays & Weekends, J Block till 3:10 P.M.	4	Tanner
B & C Blocks Breakfast & Noon, B & C Blocks & Work Yards all day, B & C Corridor to Rec New Gym Weekends and Holidays	5	Colgan
D.O.R. - 1,3,5	6	Stwansky
D.O.R. - 2,4,5	7	Ewanyk
Relief Charts 5 Sq RDO-Misc 1,3,4,6,7 Sq RDO	2	Clark
F & K Block Breakfast, Industry 13 & 14 Bldg All till clean at Noon, Kitchen at Noon, Industry 13 & 14 Bldg PM, Gate Corridor to 14 Bldg Coor Gym Bldg, Coordinate Gym & auditorium activities with Chief Office & All Departments	S/S	Sullivan
7:30 and 9:45 Charts	5	Hill, 27
[illegible] Breakfast and Noon, Farm, Grass Mowing Outside Camp, Towers, Range Outside Grounds	S/S	Rahilly
Administration Bldg., Fly Room, Armorall and Sergeant Inside Grounds and Yards, Rear Gate, Administration Security Training, Grounds Court, Police Squad.	S/S	Zyleman

Transfer 5/S Young

DXT A-1832

32

Defendants' Exhibit U–Ossining Correctional Facility, Lieutenant and Sergeant Assignments by Shift

Shift	Name	Hours	As Directed
7-3	Lt. R. Pl[illegible]	7-3	Security
1.	Lt. J. [illegible]	12-8	Watch Commander
5.	Lt. M. [illegible]	4-12	Watch Commander
3.	Lt. [illegible]	[illegible]	4-12 Shift Relief
	Lt. T. [illegible]		Vacation - Sick - [illegible]
1.	Sgt. [illegible]	7-3	Relief [illegible] Hall, [illegible] Dock when Sgt 3 is off, 1 Day Relief for [illegible] Building - [illegible] 4 is off.
6.	Sgt. [illegible]	7-3	Duty Desk
4.	Sgt. [illegible]	7-3	Adm. Bldg. [illegible] - Visit Room - [illegible] Receiving & I.D. Desk, Pad Room - [illegible] Personnel - [illegible] - Identification - [illegible] Arrest - Mail Room - [illegible]
7.	Sgt. Scott	7-3	Garage - Yards & Grounds - Outside & Inside Sup't. - Dep. Supt. - Asst. Dep. Supt. - Records Offices - Mail Room - Emergency [illegible]
5.	Sgt. Bernabeu	7-3	Relief for Bar A, Yard, & Ground [illegible] Sgd 7 is off, hospital (D-2) when Sgt 7 is off, 1 Day relief for [illegible] when Sgd 4 is off.
3.	Sgt. Sullivan	7-3	Mess Hall crew (Kitchen-Attendant [illegible] Rec. Yard)
2.	Sgt. Darnell	8-4	Hospital Complex
8.	Sgt. Lovell	8-4	Laundry Bldg. Complex (Vocational [illegible] Reception Complex
1.	Sgt. [illegible]	6-4	Reception Complex
3.	Sgt. [illegible]	9:30-5:30	HBA, Chapel & Auditorium, Corridor [illegible] (Movie Supervision)
4.	Sgt. Cusano	9:30-5:30	HBA, Reception Complex, 7 Bldg.
6.	Sgt. LaCoy	9:30-5:30	Special Housing Unit & Drafts
5.	Sgt. Pilotero	9:30-5:30	Relief for Reception on Sgd 1 Day off, [illegible] and Adj. areas on Sgd 3 Day off, 1 Day [illegible] Special Housing & Drafts when Sgd 6 is off.
7.	Sgt. Guariglia	9:30-5:30	Relief for 2-10 Shift when Sgd 2 is off, [illegible] and Adj. areas when Sgd 4 is off. 1 Day Relief for Spec. Housing & Drafts when Sgd 6 is off.
2.	Sgt. [illegible]		Vacation - P.T. - Sick Relief
2.	Sgt. Stiles	2-10	Recn-Ch,m-Ballfield-School-Shops until Closing
4.	Sgt. Jackson	12-8	12-8 Sergeant & Relief
2.	Prov. Sgt. Suggs	7-3	Garage, Yards & Grounds, Outside & Inside-Sgts. Dep.Supt. [illegible] Asst. Dep. Supt. Records Office, Mail Room, Emergency Squad
6.	Prov. Sgt. [illegible]	9:30-5:30	Recn-Chapel-Ballfield-Yard [illegible] Gym, Ballfield-HBA Supply [illegible] Bldg.-School, Shops, Auto Desk Relief 5 Days to 4 Days.
5.	Prov. Sgt. [illegible]	9:30-5:30	Mail, Chapel & Auditorium, Corridor [illegible] (Movie Supervision)
4.	Prov. Sgt. Holman	9:30-5:30	HBA, Reception Complex, 7 Building
1.	Prov. Sgt. Bartlett	9:30-5:30	Special Housing Unit & Drafts
2.	Prov. Sgt. [illegible] [illegible]		Vacation - P.T. - [illegible] Sick Relief

Defendants' Exhibit DD—Ethnic Statistical Analysis (Siegel)

	WHITE			BLACK					HISPANIC					
	N	$\bar{X}$	S	N	$\bar{X}$	S	W/B t	W/B sign.	N	$\bar{X}$	S	W/PR t	W/PR sign	
TOTAL TEST	81	47.32	6.30	81	42.96	6.25	4.41	.001	9	41.56	5.23	2.61	.05	OSSINING
LAW	81	6.68	2.03	81	6.38	2.12	.90	NS	9	6.81	1.10	.86	NS	
METHODS	81	10.95	1.67	81	10.32	1.73	2.35	.05	9	9.22	1.99	2.36	.01	
SUPERVISION	81	8.69	2.02	81	7.49	1.66	4.11	.001	9	6.89	1.29	2.59	.05	
REPORT PREP	81	9.90	2.53	81	8.43	2.66	3.59	.001	9	8.67	3.50	1.31	NS	
JUDGEMENT	81	11.10	1.96	80	10.46	1.84	2.13	.05	9	10.67	1.15	.64	NS	
TOTAL	114	48.68	6.66	8	42.00	7.12	2.71	.01	1	44.0	0	—	—	GREENVILLE
LAW	114	7.15	2.21	8	6.63	2.00	.64	NS	1	6.0	0	—	—	
METHODS	114	11.32	1.68	8	10.13	1.69	1.97	NS	1	10.0	0	—	—	
SUP	114	9.30	2.00	8	7.58	1.69	1.94	NS	1	11.0	0	—	—	
R.P.	114	10.18	2.76	8	8.50	1.32	1.69	NS	1	9.0	0	—	—	
JUD	113	10.81	1.86	7	10.14	1.36	.93	NS	1	8.0	0	—	—	
TOTAL	1069	49.00	6.82	14	45.21	5.43	2.07	.05	6	48.17	5.40	.30	NS	OTHER FACILITIES
LAW	1069	7.54	2.14	14	7.29	2.02	.43	NS	6	7.67	2.75	−.15	NS	
METHODS	1069	11.15	1.77	14	10.36	1.76	1.66	NS	6	11.50	1.50	−.78	NS	
SUP	1061	9.33	2.03	14	8.57	1.84	1.39	NS	6	9.17	.69	.19	NS	
R.P.	1061	10.26	2.72	14	8.79	2.98	2.01	.05	6	9.00	2.08	1.13	NS	
JUD	1064	10.92	1.79	13	11.00	1.71	−.16	NS	6	10.83	1.86	.12	NS	
TOTAL	1264	48.9	6.8	103	43.2	6.3	5.22	.001	16	44.2	6.0	2.75	.01	TOTALS
LAW	1264	7.45	2.16	103	6.52	2.12	4.20	.001	16	6.69	2.02	1.90	NS	
METHODS	1264	11.15	1.25	103	10.31	1.74	4.68	.001	16	10.13	2.01	2.31	.05	
SUP	1256	9.29	2.04	103	7.67	1.73	7.83	.001	16	8.00	1.70	2.52	.05	
R.P.	1256	10.23	2.72	103	8.49	2.63	6.25	.001	16	8.81	2.92	2.07	.05	
JUD	1258	10.92	1.81	100	10.51	1.80	2.18	.05	16	10.56	1.58	.79	NS	

DXDD

1934

DEF EXH. EE-VITA, ERWIN K. TAYLOR

BACKGROUND INFORMATION

ERWIN K. TAYLOR, PH.D.

Born: 12-2-13 Chicago, Illinois

Married: 10-3-37

Children: 1, Female, b. February 15, 1951 - Adopted May 9, 1951

Undergraduate Education: Northwestern University -- 1930-32
University of Wisconsin -- 1932-33
Northwestern University (evenings) -- 1933-35
B.S. Major in Psychology

Graduate Training: Northwestern University (primarily evenings and summers) -- 1937-41

M.A. (Psychology - 1939)
Ph.D. (Psychology - 1941)

Professional History:

1942-43 Examiner, Illinois State Civil Service Commission -- Construct, administer and analyze civil service examinations for wide variety of positions ranging from prison guard to Registered Nurse.

1943-51 Personnel Research Section, Adjutant General's Office, Department of Army. Started as civilian personnel technician. Involved in development of selection and performance appraisal devices and methods. Designed and directed wide range of personnel research. Specialized particularly in the design, analysis and interpretation of tests and other selection devices for military and civilian personnel. Participated in design of Officer Retention project and Officer Career Management program design. Final

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assignment: Contract Research Officer, designed research to be contracted to outside organization, evaluated proposals, monitored contracts, reviewed and evaluated results.

1951-55 Western Reserve University. Dual appointment as full professor of Psychology and Director of Personnel Research Institute. Taught graduate courses, directed dissertations and did psychological consulting and research in university framework.

1955-71 Founder and President and majority stockholder of Personnel Research and Development Corporation. Developed consulting firm of nine managerial psychologists all at Doctoral level. Headquartered in Cleveland, Ohio with branch office in New York City. PRADCO has served approximately 700 clients, including a wide variety of industries and ranging in size from very small businesses to many of Fortune's 500.

1971-Present: Director of Research, Personnel Research and Development Corporation.

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Professional Honors, Accomplishments and Offices:

1948 - Founded PERSONNEL PSYCHOLOGY and edited same for eleven years.

Member: Sigma Xi, Scientific Honor Society

Sigma Iota Epsilon, Honorary Business fraternity

Psychometric Society

Fellow: American Psychological Association

Cleveland, Ohio, Midwest, East Psychological Associations

Secretary, then President, Division of Business and Industrial Psychology, A.P.A.

Diplomate in Industrial Psychology, American Board of Professional Psychology.

Bibliography: See partial list attached.

Official Biographies:

Directory American Psychological Association

American Men of Science

Who's Who in the Midwest

World - Who's Who in Commerce and Industry

Licenses and Certificates:

Certified Psychologist, New York

Licensed Psychologist, Tennessee

Registered Psychologist, Illinois

PARTIAL

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for

ERWIN K. TAYLOR

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5. (With R.H. Gaylord) Tables for use in the computation of statistics of dichotomous and truncated distributions. Educational and Psychological Measurement. 1947, 7, 441-456.

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14. (With E.C. Nevis) The validity of using psychological selection procedures. Personnel, 1953, 30, 187-189.

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